

STATE OF NORTH DAKOTA
SECURITIES DEPARTMENT

In the Matter of:)	
)	
Electronic Filing of Securities)	REVISED ORDER MANDATING
Registration Applications, Notice)	ELECTRONIC FILINGS
Filings, and Exemption Filings.)	
)	

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WHEREAS, Section 10-04-03(2) of the North Dakota Century Code provides that the Securities Commissioner may issue an order necessary or appropriate to carry out the provisions of the North Dakota Securities Act, including rules and forms governing registration statements, applications, notice filings and other records;

WHEREAS, certain securities registration applications, exemption filings, and other notice filings are time sensitive; and

WHEREAS, in order to implement a more complete remote work policy that provides timely service to the Securities Department's constituency, the Securities Commissioner has determined that it is in the best interest of the staff of the Securities Department, issuers, and the public to mandate that securities registration applications, notice filings, and exemption filings, not currently utilizing the North American Securities Administrators Association Electronic Filing Depository (EFD) portal or BlueExpress, be filed electronically using the Securities Department's secure email address:

securitiesfilings@ND.gov .

IT IS HEREBY ORDERED that:

1. All securities registration applications filed under Sections 10-04-07.1, 10-04-07.2 or 10-04-08 of the Act shall be filed via the North American Securities Administrators

Association EFD Portal (EFD) at <https://efdnasaa.org/> or via email to securitiesfilings@ND.gov .

2. All unit investment trust notice filings made under 10-04-08.4 of the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/> or via email to securitiesfilings@ND.gov .

3. All investment company fund notice filings made under 10-04-08.4 of the Act shall be filed via BlueExpress or via email to securitiesfilings@ND.gov .

4. All Regulation D, Rule 506 notice filings made under 10-04-08.4 of the Act shall be made via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/>.

5. All Regulation A, Tier 2 notice filings made under 10-04-08.4 of the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/> or via email to securitiesfilings@ND.gov .

6. Any other securities filing required to be made under the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/> or via email to securitiesfilings@ND.gov .

7 Payment of fees shall be made by electronic fund transfer. Upon receipt of the filing, instructions for making the payment will be provided to the filer. Filings submitted via email will not be effective until payment is received by the Department.

8. This Revised Order shall be effective immediately.

IN TESTIMONY WHEREOF, witness my hand and seal this 8th day of June, 2020.




Karen J. Tyler, Securities Commissioner
North Dakota Securities Department
600 East Boulevard Ave.
State Capitol – Fifth Floor
Bismarck, ND 58505-0510
(701) 328-2910

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WHEREAS, in order to implement a more complete remote work policy that provides timely service to the Securities Department's constituency, the Securities Commissioner has determined that it is in the best interest of the staff of the Securities Department, issuers, and the public to mandate that securities registration applications, notice filings, and exemption filings, not currently utilizing the North American Securities Administrators Association Electronic Filing Depository (EFD) portal or BlueExpress, be filed electronically using the Securities Department's secure email address:

securitiesfilings@ND.gov .

IT IS HEREBY ORDERED that:

1. All securities registration applications filed under Sections 10-04-07.1, 10-04-07.2 or 10-04-08 of the Act shall be filed via email to securitiesfilings@ND.gov .

2. All unit investment trust notice filings made under 10-04-08.4 of the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/> or via email to securitiesfilings@ND.gov .
3. All investment company fund notice filings made under 10-04-08.4 of the Act shall be filed via BlueExpress or via email to securitiesfilings@ND.gov .
4. All Regulation D, Rule 506 notice filings made under 10-04-08.4 of the Act shall be made via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/>.
5. All Regulation A, Tier 2 notice filings made under 10-04-08.4 of the Act shall be filed via email to securitiesfilings@ND.gov .
6. Any other securities filing required to be made under the Act shall be filed via email to securitiesfilings@ND.gov .
7. Payment of fees shall be made by electronic fund transfer. Upon receipt of the filing, instructions for making the payment will be provided to the filer. Filings submitted via email will not be effective until payment is received by the Department.
8. The effective date of the Order shall be June 1, 2020.

IN TESTIMONY WHEREOF, witness my hand and seal this 30th day of April, 2020.



A handwritten signature in black ink, appearing to read "Karen J. Tyler", written over a horizontal line.

Karen J. Tyler, Securities Commissioner
North Dakota Securities Department
600 East Boulevard Ave.
State Capitol – Fifth Floor
Bismarck, ND 58505-0510
(701) 328-2910