

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, are filed electronically. Filings must be presented through the North American Securities Administrators Association Electronic Filing Depository (EFD), BlueExpress, or the Securities Department's filing portal.

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/>.

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/>.
3. All investment company fund 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/>.
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/>.
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 the Securities Department's filing portal at <https://securitiesfilingportal.nd.gov>.

7. Payment of fees shall be made by electronic fund transfer. Filings are effective when payment is received by the Department.

8. This Revised Order shall be effective immediately.

IN TESTIMONY WHEREOF, witness my hand and seal this 31st day of January, 2023.





Karen J. Tyler, Securities Commissioner
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