



STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION

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Notice of Adoption of Rule Amendments to Mandate Electronic Filing of Rule 506 Notices through NASAA's EFD System

December 12, 2019

To Interested Persons:

We are writing to inform you that the Securities Division has adopted final amendments to WAC 460-44A-503 to require that notice filings and fees for securities offerings made in reliance on Rule 506 of federal Regulation D be submitted electronically through the Electronic Filing Depository (EFD).

On December 10, 2019, the Securities Division filed a Rule-Making Order (CR-103) and the text of the final rules (OTS-1268.1). Please find accompanying this notice, copies of the rule-making order and the text of the final rules. These materials will also be available on the rule-making page of the Securities Division's website at: <https://dfi.wa.gov/rulemaking/electronic-filing-depository-requirements>. **These rule amendments become effective 31 days after the CR-103 filing.**

Once the rule amendments become effective, the Securities Division will no longer accept paper filings. Please also note that the Securities Division will discontinue sending paper acknowledgments of Rule 506 notice filings. Instead, filers may verify the status of their filings through the EFD system.

If you have any questions about the adopted rules, you may submit them to Michelle Webster at: michelle.webster@dfi.wa.gov, or you may mail questions to the following address:

Michelle Webster, Esq.
Securities Division
P.O. Box 9033
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If you have any questions about the EFD system, please e-mail Trang Pham at trang.pham@dfi.wa.gov or call (360) 902-8760 or (360) 902-8738.