



ARKANSAS SECURITIES DEPARTMENT

Corporate Finance Filings COVID-19 Guidance

Registration by coordination, notification, or qualification:

Filings may be made electronically, including the exhibits, by email to Felicia.West@arkansas.gov. If the file size is too big, then the email filings may include links to EDGAR filings. Fee payments may be made by ACH or wire. Staff of the Department will provide the banking information to the filer. Filer is responsible for providing staff with information related to the ACH payment that will allow staff to properly identify the ACH payment, such as an ACH filing identification number. Any bank fees incurred by the Department must be paid by the filer.

Form D, Rule 506 filers will be required to use EFD to make filings. Fees are paid electronically using EFD. If a filer is late making a filing due to outbreak of COVID-19, a filer may request a refund of the late fee collected by EFD. The request for refund may be made by email to Felicia.West@arkansas.gov.

Mutual Funds and Unit Investment Trusts (UIT) can use BlueExpress electronic filing protocol. Fees are paid electronically. UITs can also file using EFD. Those filers who have not transitioned to BlueExpress or EFD will be allowed to file the necessary paper forms electronically by email to Felicia.West@arkansas.gov. Fee payments may be made by ACH or wire. Staff of the Department will provide the banking information to the filer. Filer is responsible for providing staff with information related to the ACH payment that will allow staff to properly identify the ACH payment, such as an ACH filing identification number. Any bank fees incurred by the Department must be paid by the filer. If a filer pays fees for more than one filing on one wire or ACH payment, the filer must provide an accounting of the fees paid for each filing in an excel spreadsheet.

Exemption filings currently made by paper filings will be allowed to file electronically by email to Felicia.West@arkansas.gov. Fee payments may be made by ACH or wire. Staff of the Department will provide the banking information to the filer. Filer is responsible for providing staff with information related to the ACH payment that will allow staff to properly identify the ACH payment, such as an ACH filing identification number. Any bank fees incurred by the Department must be paid by the filer. If a filer pays fees for more than one filing on one wire or ACH payment, the filer must provide an accounting of the fees paid for each filing in an excel spreadsheet.

This Interim Guidance is in effect from March 23, 2020 through April 16, 2020 but is subject to change or withdrawal. The Bank for the Department does not charge for ACH deposits but does charge the Department a \$15 fee for wire transfers. The Securities Department has a continuity of operations plan that allows employees to work from home and designates certain employees as essential personnel to work at the office. In accordance with the Executive Order EO 20-06, the staff of the Department will work with filers who cannot meet due dates because of circumstances out of the control of the filers or staff if the investing public is not being harmed by the delay in the filing.