

STATE OF NEBRASKA
Department of Banking & Finance

IN THE MATTER OF:)	
)	
Electronic Filing of Securities)	ORDER TEMPORARILY
Registrations and Notice-Filings)	MANDATING ELECTRONIC
)	FILINGS

THIS MATTER comes before the Nebraska Department of Banking and Finance (“Department”), by and through its Director, pursuant to its authority under the Securities Act of Nebraska, Neb. Rev. Stat. §§ 8-1101 to 8-1123 (Reissue 2012; Cum. Supp. 2018; Supp. 2019) (“Act”).

1. Neb. Rev. Stat. § 8-1120(9) (Cum. Supp. 2018) provides that the director may, by rule and regulation or order, authorize or require the filing of any document required to be filed under the act by electronic or other means, processes, or systems.

2. On March 13, 2020, the Governor issued a Proclamation pursuant to Neb. Rev. Stat. 81-829.40 (Reissue 2014) declaring an emergency resulting from the coronavirus COVID-19 pandemic.

3. In light of such emergency, the Director has determined that it is in the best interest of the Department, filers, and the public to temporarily mandate that securities registrations and notice filings be filed electronically.

IT IS THEREFORE ORDERED as follows:

1. All securities exemption notice filings pursuant to Neb. Rev. Stat. § 8-1111 (Supp. 2019) shall be filed via email to DOB.SecuritiesFilings@nebraska.gov.

2. All Regulation D, Rule 506 notice filings pursuant to Neb. Rev. Stat. § 8-1108.02 (Reissue 2018) shall be made via the North American Securities Administrators Association EFD Portal (“EFD”) at <https://efdnasaa.org/>.

3. All Regulation A, Tier 2 notice filings pursuant to 48 NAC 20(5) shall be filed via email to DOB.SecuritiesFilings@nebraska.gov.

4. All Securities Registrations filings pursuant to Neb. Rev. Stat. § 8-1108 (Reissue 2018) shall be filed via email to DOB.SecuritiesFilings@nebraska.gov.

5. All Mutual Fund notice filings pursuant to Neb. Rev. Stat 8-1108.03 (Reissue 2018) shall be made via Blue Express or via email to DOB.SecuritiesFilings@nebraska.gov.

6. All Unit Investment Trust notice filings pursuant to Neb. Rev. Stat 8-1108.03 shall be via Blue Express, EFD or via email to DOB.SecuritiesFilings@nebraska.gov.

7. After receiving a filing via email, the Department will contact the filer with payment instructions. Filings received by email will not be effective until payment is received by the Department.

8. This Order shall remain in effect until April 30, 2020, unless subsequently modified, vacated, or extended by the Director.

9. The effective date of this Order shall be March 23, 2020.

DATED this 20th day of March, 2020.



STATE OF NEBRASKA
DEPARTMENT OF BANKING AND FINANCE

By: 
Mark Quandahl, Director

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