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ARIZONA CORPORATION COMMISSION

July 1, 2020

Regarding the ongoing developments related to the coronavirus (COVID-19) situation, we want to make you aware of what steps the Securities Division is taking to keep our staff and our stakeholders as safe as possible.

As of today:

- The offices of the Securities Division are closed to the public and most of the Securities staff are teleworking from home. The Commission is working on processes and procedures to allow the Division to gradually and safely open in compliance with federal guidelines and the Governor's Stay Healthy, Return Smarter, Return Stronger executive order. To check if the Division has re-opened for in-person visits, you can check this page or the Commission's [home page](#).
- You may reach the staff of the Securities Division via their state email or by leaving them a voicemail message on their state office line. All staff will be responding to email and voicemail messages throughout the day every business day during this telework period. Relevant contact information is available on the agency's website at <http://www.azcc.gov/contact>.
- Licensing staff are continuing to process licensing/registration applications through the CRD/IARD systems. Requests for supplemental information may be submitted via email.
- The Securities Division is still accepting Regulation D, Rule 506 notices through its online portal. Please visit the Division's [Form D Filing](#) web page to begin your filing.
- Field examiner staff are conducting streamlined, remote examinations using phone and email correspondence in lieu of traditional on-site examinations during this time.

- Enforcement staff also are limiting in-person contacts with witnesses and regulatory partners, taking advantage of phone, email, and other forms of telecommunications technology to complete their work in a virtual environment.
- We are sensitive to the challenges that the crisis has created for our registered community and our constituents. Please know that our staff will be responsive and receptive to requests for extensions and other appropriate forms of regulatory relief arising from service and staff disruptions occasioned by COVID-19.
- In appropriate circumstances, the Division may accept delayed fingerprints from an Applicant provided the Applicant submits a signed statement to provide fingerprints to the Division prior to July 30, 2020. Please contact the Division staff for further details and instructions for drafting the signed statement.
- The Securities Division accepts online notarizations. Out-of-state and Arizona applicants may consider such a service and [A.R.S. § 41-373\(A\)\(2\)](#) allows Arizona notaries to process documents for individuals that are located within and outside of the state. For more information on remote notarizations, along with a list of eNotary providers, please visit the Arizona Secretary of State's [website](#).

We are following all directives and guidance issued by the state of Arizona, related to COVID-19, including those related to travel and public gatherings. For this reason, Outreach presentations are being postponed and staff are abstaining from professional conferences and training programs where federal and CDC guidelines cannot be implemented safely and effectively.

Please work directly with agency staff via telephone or email on matters requiring staff attention. The situation remains fluid and there may be a point in time when we will take additional steps to protect the health of both our employees and the public.

Additional securities regulatory information related to COVID-19 for jurisdictions beyond Arizona can be found on the website of the North American Securities Administrators Association, of which Arizona is a member, at the following link: www.nasaa.org/industry-resources/covid-19-updates/.

Please keep yourself informed and stay safe.

If you have questions or concerns about this message, please don't hesitate to contact us at the following phone number or email address:

If you have investor questions or complaints please contact us at (602) 542-0662 or SecuritiesDiv@azcc.gov. If you have licensing or registration issues please contact us at (602) 542-1426 or SEC-AOD@azcc.gov.

Thank you