



STATE OF CONNECTICUT
DEPARTMENT OF BANKING
260 CONSTITUTION PLAZA – HARTFORD, CT 06103-1800



CONNECTICUT INTERIM GUIDANCE
PAPERLESS SUBMISSION OF
SECURITIES REGISTRATION, EXEMPTION AND COVERED SECURITY FILINGS AND BUSINESS
OPPORTUNITY REGISTRATION FILINGS
IN LIGHT OF PANDEMIC RESTRICTIONS

Date: March 25, 2020 (updated 4/9/2020)

As a result of the recent pandemic, many staffers in the Securities and Business Investments Division of the State of Connecticut Department of Banking will be working remotely and will not be physically present in the office. While this may cause some delays with our processing of filings, we will make every effort to limit them.

As an accommodation to securities registration, exemption and covered security filers (as well as business opportunity registration filers) and for the foreseeable future, the Division is giving you the option of making your filings and payments electronically. This approach will be reassessed once normal functions resume.

Electronic payment is highly encouraged. In addition, the Division will waive manual signature requirements. Notarization requirements (e.g. on Form U-2) are temporarily suspended.

Following is a quick summary of the optional procedure.

1. NON-MONETARY FILINGS

Examples Include: Amendments (e.g. Post-Effective Amendments; Supplemental Amended Disclosure and Offering Documents); Exemptions Not Requiring a Fee (e.g. Accredited Investor Exemption; Self-Executing Exemptions Only Requiring a Consent to Service of Process on Form U-2)

In lieu of a mailed paper filing, scanned submissions may be e-mailed to:

dob.sec-reg@ct.gov

2. INITIAL FILINGS AND RENEWAL FILINGS FOR REGISTRATION BY COORDINATION AND QUALIFICATION AND FOR BUSINESS OPPORTUNITY REGISTRATION

PRIVATE OFFERINGS PURSUANT TO RULE 506 AND 504 OF REGULATION D SECTION 4(a)(2) FILINGS

a) E-mail a copy of the filing to the following two recipients:

dob.sec-reg@ct.gov

dob.ar@ct.gov

TEL: (860) 240-8299 • FAX: (860) 240-8178

Website: <http://www.ct.gov/dob>

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b) To ensure proper monetary credit, in your e-mail, identify the date you made the electronic remittance, the amount and include applicable reference numbers. **If there is a place for a Description (or Beneficiary) it is critical that you include the issuer's (or business opportunity seller/franchisor's) name and indicate the type of filing involved (e.g. Form D; securities registration; Section 4(a)(2); business opportunity registration).** Linking the payment to a particular filing is really important and will enable our Business Office to associate your firm's payment with the right filing. The issuer's or seller's name may also be included in the "Beneficiary" section of a wire transfer.

c) Here are the e-payment particulars:

Account Name: State of Connecticut – Regular Account
Bank of America 1130477
Account Number 0001130477
Routing # 011900254 [ACH]
Wire Transfers: 026009593
State Agency Reference: Dept. of Banking – Agency # DOB 370000

Please feel free to e-mail us at dob.sec-reg@ct.gov if you have any questions or concerns. Thank you.