

ALABAMA SECURITIES COMMISSION (ASC)

Regarding the ongoing developments related to the Coronavirus disease (COVID-19), the Alabama Securities Commission is taking the following precautions to keep staff and stakeholders as safe as possible.

As of October 1, 2021:

- The offices of the ASC remain open, staff and in-person visitors are encouraged to follow all CDC guidelines.
- Audit field examiners are conducting streamlined, on-site examinations at this time.
- Licensing staff are continuing to process licensing/registration applications through the CRD/IARD, EFD, NMLS and BlueExpress systems. Paper filings will continue to be processed on a daily basis. Requests for supplemental information may be submitted via email.
- Enforcement staff are performing assignments in-person with witnesses and regulatory partners. When necessary, investigators may meet with witnesses via phone, email, and other forms of telecommunications technology to complete work. Complaints of fraud or financial exploitation continue to be reviewed as received and actions taken as appropriate.
- We are sensitive to the challenges that the crisis has created for our registered community and the public. Please know that our staff will be responsive and receptive to reasonable requests for extensions and other appropriate forms of regulatory relief arising from service and staff disruptions occasioned by COVID-19.

We are following the directives and guidance issued by Governor Kay Ivey and Alabama State Public Health Officials, related to COVID-19, including those related to travel and public gatherings.

For your safety and that of our staff, we ask you to please refrain from unscheduled walk-in visits to the office. Please work directly with agency staff via telephone or email to schedule in-person visits. 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.

Important information on COVID-19 is available at <http://alabamapublichealth.gov>. Regulatory information is available on the agency's website at www.asc.alabama.gov. Additional securities regulatory information related to COVID-19 for jurisdictions beyond Alabama can be found on the website of the North American Securities Administrators Association, of which ASC 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: 334-242-2984 or asc@asc.alabama.gov

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For Education, Media and Public Affairs inquiries email Nick Vonderau at nick.vonderau@asc.alabama.gov or Faith Feaga at faith.feaga@asc.alabama.gov or call 1-800-222-1253.