

COVID-19 UPDATE:

- The Securities Department remains open with minimal staff, but most of the staff are teleworking.
- You may reach the staff of the Securities Department via their state email or by leaving them a voicemail message on their state office telephone line. Please call (405) 280-7700 and **press 411** for a name directory if you do not know the appropriate 4-digit extension. Staff will be responding to email and voicemail messages throughout the day, every business day, during this telework period. You may also call (405) 280-7700 and **press 2** for questions relating to securities and business opportunities registration and exemptions, and subdivided land sales; **press 3** for questions relating to the registration of broker-dealers, agents, investment advisers, and investment adviser representatives; **press 4** for complaints against broker-dealers, agents, investment advisers, and investment adviser representatives; and **press 5** for all other complaints or questions.
- Field examiners are conducting streamlined, remote examinations using phone and email correspondence in lieu of traditional on-site examinations during this time.
- Personnel are continuing to process registration applications through the CRD/IARD systems. Requests for supplemental information may be submitted via email.
- Enforcement staff also are limiting in-person contacts with witnesses and regulatory partners, and 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 this crisis has created for our registered securities professionals, issuers and the investing public. Please know that our staff will be responsive to requests for extensions and other appropriate forms of regulatory relief arising from service and staff disruptions occasioned by COVID-19.

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 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.

Important regulatory information on COVID-19 will be made available on the Department's website at the following link: www.securities.ok.gov. Additional securities regulatory information related to COVID-19 for jurisdictions beyond Oklahoma can be found on the website of the North American Securities Administrators Association, of which the Oklahoma Securities Department is a member, at the following link: www.nasaa.org/industry-resources/covid-19-updates/.

Please keep yourself informed and stay safe.