



Connie Lawson
Secretary of State

Secretary of State

State of Indiana

Securities Division

Alex Glass
Securities Commissioner

COMPLIANCE ALERT

TO: All Individuals and Firms that Transact Business with the Indiana Securities Division
FROM: Alex Glass, Securities Commissioner
DATE: March 24, 2020
RE: Indiana Securities Division Response to the COVID-19 Outbreak

The Indiana Secretary of State, Securities Division (“Division”) is monitoring COVID-19 developments and has taken a number of steps in following the directives of state and federal health agencies to keep staff and stakeholders safe.

- The Division lobby is currently closed and Division staff are working remotely. Division staff are available via state email or office phone and can be available for virtual meetings. Other meetings will be postponed until a later date. The goal is for business to function as close to normal as possible, so inquiries will be responded to in a timely manner.
- The Indiana Securities Portal is fully operational and a majority of registrations can be submitted electronically. If filing through the Portal, and an item cannot be completed because of impact to business operations due to the COVID-19 pandemic, contact the Division for assistance.
- The Examination team is conducting streamlined, remote examinations using phone and email correspondence in lieu of traditional on-site exams during this time.
- The Enforcement team is limiting in-person contact with witnesses, victims and regulatory partners while utilizing telecommunications technology to continue investigations and enforcement actions while working remotely.
- Currently scheduled Indiana Moneywise in-person outreach events are postponed. The team continues to look for virtual opportunities to further the Secretary’s mission of increasing financial literacy and preventing investment fraud.
- The Division is sensitive to the current crisis caused by the COVID-19 and is receptive to requests for certain regulatory relief and will continue to work with constituents and industry professionals concerning disruptions to business operations caused by the pandemic.

If you have any questions or concerns regarding this Alert, or believe that your business with the Division is uniquely impacted by the COVID-19 pandemic, please contact the Division by e-mail at securities@sos.in.gov.

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