



Secretary of State State of Indiana

Connie Lawson
Indiana Secretary of State

Alex Glass
Securities Commissioner

COMPLIANCE ALERT

TO: All Broker-Dealers, Investment Advisers, and their Registered Agents or Investment Adviser Representatives
FROM: Alex Glass, Securities Commissioner
DATE: March 24, 2020
RE: Administrative Order 20-0010 AO Granting Temporary Relief for Registrants Affected by COVID-19 Outbreak

The Indiana Secretary of State, Securities Division (“Division”) and Securities Commissioner (“Commissioner”) are issuing this compliance alert to notify registrants of the issuance of Administrative Order 20-0010 AO, which grants temporary relief to securities registrants affected by the COVID-19 outbreak. More information may be found by accessing the full order at the following link: [Current Administrative Orders](#).

Described briefly, Administrative Order 20-0010 AO provides the following relief:

- Provided that a person takes specific steps to notify the Division, creates a temporary exemption from the registration requirements of the Indiana Uniform Securities Act, I.C. § 23-19, *et seq.* (“IUSA”), in instances where a person is working from a location outside of the jurisdiction where that person is currently registered as a response to the COVID-19 outbreak.
- Permits firms to submit Form U4 electronically without obtaining physical signatures from individual agents and investment adviser representatives until it is practicable to do so.
- Grants a 45-day extension of time for state registered investment advisers to adhere to any filing, updating, or customer delivery requirements required by Forms ADV.
- Permits an extension to May 15, 2020, for any broker-dealer or investment adviser to submit complete responses to the 2020 Investment Adviser/Broker-Dealer Questionnaire.

Questions regarding this alert or Administrative Order 20-0010 AO should be directed to securities@sos.in.gov.