

# ARKANSAS REGISTER

## Proposed Rule Cover Sheet



Secretary of State  
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Name of Department \_\_\_\_\_

Agency or Division Name \_\_\_\_\_

Other Subdivision or Department, If Applicable \_\_\_\_\_

Previous Agency Name, If Applicable \_\_\_\_\_

Contact Person \_\_\_\_\_

Contact E-mail \_\_\_\_\_

Contact Phone \_\_\_\_\_

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Name of Rule \_\_\_\_\_

Newspaper Name \_\_\_\_\_

Date of Publishing \_\_\_\_\_

Final Date for Public Comment \_\_\_\_\_

Location and Time of Public Meeting \_\_\_\_\_

To: Arkansas Democrat-Gazette Legal Ads, Attn: Gregg  
From: David H. Smith, Arkansas Securities Department  
1 Commerce Way, Suite 402  
Little Rock, AR 72202  
Sent: July 10, 2020  
RE: Publication of Legal Notices

Please publish the Legal Notice that is attached and set out below for three successive days beginning with the July 12, 2020 edition of the Arkansas Democrat-Gazette. An invoice for fees may be sent to my attention at my above listed address. Please confirm receipt of this request and that publication will be made as requested. Call me with any questions or if additional information is needed at 501-324-8694.

#### Rules of the Arkansas Securities Commissioner

The Arkansas Securities Department will hold a public hearing on August 11, 2020 at 10:00 a.m. in the Diamond Mine Conference Room – Second Floor of the Commerce Department, 1 Commerce Way, Little Rock, Arkansas 72202. The public hearing will be conducted for the purpose of accepting public comment on the proposed amendments to the Rules of the Arkansas Securities Commissioner for the Arkansas Securities Act, Ark. Code Ann. §§ 23-42-101 through 509. The proposed amended Rules add: a registration exemption for certain merger and acquisition brokers; provisions for physical security and cybersecurity policies and procedures; clarity to suitability requirements; and other general clarifying provisions. These amendments address matters necessary in the orderly administration of laws concerning the regulation of securities activity in Arkansas.

Written comment will be accepted through 9:00 a.m. on August 11, 2020. A copy of the proposed Rules may be obtained from the Arkansas Securities Department at the above address, by calling the Arkansas Securities Department at (501) 324-9260, or through the Arkansas Securities Department website at [www.securities.arkansas.gov](http://www.securities.arkansas.gov).

Eric P. Munson  
Commissioner  
Arkansas Securities Department