



State of Rhode Island and Providence Plantations  
DEPARTMENT OF BUSINESS REGULATION  
1511 Pontiac Avenue, Bldg. 69-1  
Cranston, Rhode Island 02920

Securities Division

## INDUSTRY ALERT 2013-1

### INITIAL/RENEWAL MUTUAL FUND NOTICE FILINGS

**Effective January 1, 2014** the Department of Business Regulation (the “Department”) will require all Mutual Fund Notice Filings (“Filing”) be submitted electronically. Filings may be submitted using the Department’s new eLicensing System at <https://elicensing.ri.gov>. or BNY Mellon’s BlueExpress System.

**IF YOU ARE RENEWING** a filing on the Department’s new eLicensing System, please e-mail [SecuritiesInquiry@dbr.ri.gov](mailto:SecuritiesInquiry@dbr.ri.gov) for your personal User ID and Password. You will need a separate User ID and Password for each Filing. Please note there is a convenience fee of 2.2% plus \$2.00 for each filing.

**THE DEPARTMENT WILL NO LONGER ACCEPT ANY PAPER FILINGS.**

**PLEASE NOTE THAT PAPER FILINGS RECEIVED BY THE DEPARTMENT  
WILL NOT BE PROCESSED.**

Questions regarding this alert may be sent to [SecuritiesInquiry@dbr.ri.gov](mailto:SecuritiesInquiry@dbr.ri.gov)

Maria D’Alessandro  
Deputy Director of Securities,  
Commercial Licensing and Racing and Athletics  
December 3, 2013