

POST LICENSING FILINGS RULE AMENDED

ANNUAL FINANCIAL REPORTS NO LONGER REQUIRED

EFFECTIVE JUNE 15, 2010, A BROKER DEALER IS NO LONGER REQUIRED TO ANNUALLY FILE A FINANCIAL STATEMENT WITH THE DIRECTOR UNDER 209(c)-1 1. (SEE AMENDED RULE 209(c)-1).

[http://www.dbr.state.ri.us/documents/rules/banking_securities/Securities_Regulations_\(effective_06-15-10\).pdf](http://www.dbr.state.ri.us/documents/rules/banking_securities/Securities_Regulations_(effective_06-15-10).pdf)

EFFECTIVE JUNE 15, 2010, AN INVESTMENT ADVISER IS NO LONGER REQUIRED TO ANNUALLY FILE A BALANCE SHEET, OR AUDITED BALANCE SHEET, WITH THE DIRECTOR UNDER 209(c)-1 9. (SEE AMENDED RULE 209(c)-1).

[http://www.dbr.state.ri.us/documents/rules/banking_securities/Securities_Regulations_\(effective_06-15-10\).pdf](http://www.dbr.state.ri.us/documents/rules/banking_securities/Securities_Regulations_(effective_06-15-10).pdf)