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Commissioner

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STATE OF ALASKA

PRESS RELEASE

For Immediate Release

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Alaska Division of Banking and Securities is Now Accepting Online Filing for Unit Investment Trusts

April 1, 2019 ANCHORAGE – The Alaska Division of Banking and Securities today announced that the North American Securities Administrators Association’s (NASAA) Electronic Filing Depository (EFD) System has been expanded to accommodate the electronic filing of Form NF-UIT notice filings for unit investment trusts (UITs) with the Alaska Division of Banking and Securities.

Developed by NASAA, the EFD System was launched in 2014 and was initially used to facilitate the filing of Form D for Regulation D, Rule 506 offerings with state securities regulators and to pay related fees. “By continuing to embrace technology, states are providing more innovative capital formation solutions to benefit issuers and investors alike,” said Patrice Walsh, director of the Division of Banking and Securities.

Alaska is among a growing number of states participating in the online filing of Form NF-UIT and the 48 states participating in the online EFD system for Form D. Future system enhancements are being considered to accommodate the electronic filing of Form NF-Mutual Funds and franchise filings. The EFD website also enables the public to search and view, free of charge, filings made through EFD with state securities regulators. EFD is available at: <https://www.efdnasaa.org>.

“If you have questions about a particular offering, you should contact the Alaska Division of Banking and Securities,” Director Walsh said. Issuers or investors with questions can contact the Alaska Division of Banking and Securities at (907) 269-8140 or securities@alaska.gov.

The Division of Banking and Securities is a division of the Department of Commerce, Community, and Economic Development tasked with protecting consumers in Alaska. For additional information about the division, visit www.commerce.alaska.gov/web/dbs/. For additional information about the Department of Commerce, Community, and Economic Development and its other agencies, please visit www.commerce.alaska.gov/web/.

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