



STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION

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Notice of Adoption of Amendments to Legend Guidance for Restricted Securities

June 15, 2015

We are writing to inform you that the Securities Division adopted amendments to WAC 460-44A-502 to provide legend guidance for restricted securities. The adopted amendments remove a reference to an outdated North American Securities Administrators Association (“NASAA”) guideline and instead provide the suggested language for the legends in the text itself.

On June 15, 2015, the Securities Division filed a Rule-Making Order (CR-103) and the text of the final rules (OTS-7023). Please find accompanying this notice, copies of the rule making order and the text of the final rules. These materials will also be available on the rule making page of the Securities Division’s website at: <http://www.dfi.wa.gov/securities/rulemaking>.

If you have any questions about this rule, you may submit them to Michelle Webster at michelle.webster@dfi.wa.gov, or you may mail your comments to the following address:

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