

Administrative Procedures – Incorporation by Reference

THIS FORM IS ONLY REQUIRED WHEN INCORPORATING MATERIALS BY REFERENCE. PLEASE REMOVE PRIOR TO DELIVERY IF IT DOES NOT APPLY TO THIS RULE FILING:

Instructions:

In completing the incorporation by reference statement, an agency describes any materials that are incorporated into the rule by reference and how to obtain copies.

This form is only required when a rule incorporates materials by referencing another source without reproducing the text within the rule itself (e.g. federal or national standards, or regulations).

Incorporated materials will be maintained and available for inspection by the Agency.

1. TITLE OF RULE FILING:

Rule No. S-2016-01, Vermont Securities Regulations (Revised 2019)

2. ADOPTING AGENCY:

Department of Financial Regulation

3. DESCRIPTION (*DESCRIBE THE MATERIALS INCORPORATED BY REFERENCE*):

The existing Rule incorporates laws, regulations, and forms of the federal government, including the Code of Federal Regulations and U.S. Code Annotated; rules promulgated by the Financial Industry Regulatory Authority (FINRA); Vermont Statutes Annotated; and model laws, regulations, and statements of policy promulgated by the North American Securities Administrators Association (NASAA).

4. FORMAL CITATION OF MATERIALS INCORPORATED BY REFERENCE: C.F.R.; U.S.C.A., V.S.A.

5. OBTAINING COPIES: (*EXPLAIN WHERE THE PUBLIC MAY OBTAIN THE MATERIAL(S) IN WRITTEN OR ELECTRONIC FORM, AND AT WHAT COST*):

All of the cited materials are available online at the following links:

Incorporation By Reference

Federal securities laws:

<http://www.sec.gov/about/laws.shtml#secact1933>

Securities and Exchange Commission (SEC) Regulations:

<http://www.sec.gov/about/laws/secrulesregs.htm>

SEC Forms:

<http://www.sec.gov/forms#.UzgQBleiiQk>

FINRA Rules:

<http://www.finra.org/Industry/Regulation/FINRARules/>

Vermont Statutes Annotated:

<https://legislature.vermont.gov/statutes/>

NASAA Statements of Policy:

<http://www.nasaa.org/regulatory-activity/statements-ofpolicy/>

NASAA Forms:

<http://www.nasaa.org/industry-resources/uniform-forms/>

Dan Raddock at the Department can be contacted via phone at (802) 828-2921 for access to paper copies of these materials should you not have internet access.

6. MODIFICATIONS (*PLEASE EXPLAIN ANY MODIFICATION TO THE INCORPORATED MATERIALS E.G., WHETHER ONLY PART OF THE MATERIAL IS ADOPTED AND IF SO, WHICH PART(S) ARE MODIFIED*):

None

Run Spell Check