

Subpart G. GENERAL PROVISIONS

Chap. 701. ADMINISTRATIVE PROVISIONS ..... 701.010 Sec. 701.010

CHAPTER 701. ADMINISTRATIVE PROVISIONS

- Sec. 701.010. [Reserved].
701.010a. Filing of registration forms.
701.011. Filing of exemption forms.
701.020. Electronic filing.
701.030. Fees.

§ 701.010. [Reserved].

Source

The provisions of this § 701.010 reserved September 22, 1995, effective September 23, 1995, 25 Pa.B. 3994; transferred and renumbered from 64 Pa. Code § 701.010, December 14, 2012, effective December 15, 2012, 42 Pa.B. 7533. Immediately preceding text appears at serial page (200165).

§ 701.010a. Filing of registration forms.

- (a) The Department will provide links to all forms and General Instructions on the Department’s web site.
(b) Forms filed with the Department must be in the format prescribed by the Department in the General Instructions.
(c) All references to forms mean paper forms or an electronic format prescribed by the Department or the Securities and Exchange Commission, NASAA or successors.
(d) The use of an electronic signature has the same force and effect as a manual signature.

Authority

The provisions of this § 701.010a issued under section 202.C of the Department of Banking and Securities Code (71 P.S. § 733-202.C); section 609(a) of the Pennsylvania Securities Act of 1972 (70 P.S. § 1-609(a)); and section 9(b) of the Takeover Disclosure Law (70 P.S. § 79(b)).

Source

The provisions of this § 701.010a adopted January 12, 2018, effective January 13, 2018, 48 Pa.B. 389.

§ 701.011. Filing of exemption forms.

- (a) The Department will provide links to all forms and General Instructions on the Department’s web site.
(b) All forms and accompanying documents filed with the Department must be in the format prescribed by the Department in the General Instructions.
(c) All references to forms mean paper forms or an electronic format prescribed by the Department or the Securities and Exchange Commission or successors.

(d) The use of an electronic signature has the same force and effect as a manual signature.

**Authority**

The provisions of this § 701.011 issued under section 202.C of the Department of Banking and Securities Code (71 P.S. § 733-202.C); section 609(a) of the Pennsylvania Securities Act of 1972 (70 P.S. § 1-609(a)); and section 9(b) of the Takeover Disclosure Law (70 P.S. § 79(b)).

**Source**

The provisions of this § 701.011 adopted January 12, 2018, effective January 13, 2018, 48 Pa.B. 389.

**§ 701.020. Electronic filing.**

Unless the Department orders otherwise, all documents shall be filed with the Department in the manner prescribed in the accompanying General Instructions.

**Authority**

The provisions of this § 701.020 issued under section 202.C of the Department of Banking and Securities Code (71 P.S. § 733-202.C); section 609(a) of the Pennsylvania Securities Act of 1972 (70 P.S. § 1-609(a)); and section 9(b) of the Takeover Disclosure Law (70 P.S. § 79(b)).

**Source**

The provisions of this § 701.020 adopted January 12, 2018, effective January 13, 2018, 48 Pa.B. 389.

**§ 701.030. Fees.**

Issuers filing registration or exemption forms by electronic means shall include the payment of fees or assessments required under section 602 or 602.1 of the act (70 P.S. §§ 1-602 and 1-602.1) by one of the following means:

- (1) Automated Clearing House transfer of funds to the Department's designated depository.
- (2) As otherwise required by the Department in the General Instructions.

**Authority**

The provisions of this § 701.030 issued under section 202.C of the Department of Banking and Securities Code (71 P.S. § 733-202.C); section 609(a) of the Pennsylvania Securities Act of 1972 (70 P.S. § 1-609(a)); and section 9(b) of the Takeover Disclosure Law (70 P.S. § 79(b)).

**Source**

The provisions of this § 701.030 adopted January 12, 2018, effective January 13, 2018, 48 Pa.B. 389.

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