

**Annual List of Rulemaking Activity**  
**Rules Adopted January 1, 2021 to December 31, 2021**  
*Prepared by the Secretary of State pursuant to 5 MRS §8053-A sub-§5*

**Agency name:** Department of Professional and Financial Regulation,  
**Office of Securities**

**Umbrella-Unit:** **02-032**

**Statutory authority:** 32 MRS §§ 16401-16405, 16605

**Chapter number/title:** **Ch. 510**, Broker-Dealers, Investment Advisers, and Others Using  
the Internet for General Dissemination of Information about  
Securities Products and Services

**Filing number:** **2021-123**

**Effective date:** 6/13/2021

**Type of rule:** Routine Technical

**Emergency rule:** No

**Principal reason or purpose for rule:**

The purpose is to update definitions and to correct a textual error.

**Basis statement:**

The Securities Administrator amends Chapter 510 in order to update the rule's definitions of "Internet" and "Internet communication" and to correct a textual error in Section 3.

**Fiscal impact of rule:**

There are no fees associated with this rule, and there is no fiscal impact associated with the change adopted.

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**Agency name:** Department of Professional and Financial Regulation,  
**Office of Securities**  
**Umbrella-Unit:** **02-032**  
**Statutory authority:** 32 MRS §§ 16202(2)(D), 16605  
**Chapter number/title:** **Ch. 536**, Securities Manuals  
**Filing number:** **2021-091**  
**Effective date:** 5/8/2021  
**Type of rule:** Routine Technical  
**Emergency rule:** No

**Principal reason or purpose for rule:**  
*(See Basis Statement)*

**Basis statement:**

The purpose of the amendment is to update the list of “nationally recognized securities manuals” available for use with the Maine Uniform Securities Act’s manual exemption at 32 MRS §16202(2)(D) by removing “Fitch” securities manuals, which are no longer being published.

**Fiscal impact of rule:**

There are no fees associated with this rule, and there is no fiscal impact associated with the change adopted.