

BEFORE THE INVESTOR PROTECTION DIRECTOR
OF THE STATE OF DELAWARE

INVESTOR PROTECTION DIRECTOR
FOR THE STATE OF DELAWARE
DEC 11 2014

IN THE MATTER OF:)
)
TECHNICAL CHANGE TO)
RULES 611 AND 712)

SUMMARY ORDER
AMENDING THE RULES
PURSUANT TO THE DELAWARE SECURITIES ACT

WHEREAS, on October 10, 2014, the Investor Protection Director (“Director”), pursuant to the Delaware Securities Act (6 *Del. C.* Ch 73, hereinafter the “Act”), amended the Rules and Regulations Pursuant to the Delaware Securities Act (“Rules”) to, among other things, require investment professionals in Delaware to display public notice of registration in Delaware in a size of 28 font or greater; and

WHEREAS, Section 73-102(b) of the Act authorizes the Director to make, amend and rescind the Rules to carry out the provisions of the Act; and

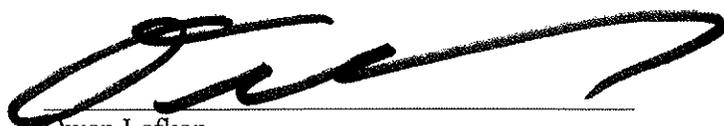
WHEREAS, Section 10113(b)(4) of the Administrative Procedures Act, (29 *Del. C.* Ch 101) allows the Director to adopt by informal procedure regulations that are “[n]onsubstantive changes in existing regulations to alter style or form;” and

WHEREAS, the Director finds it to be in the public interest to make a technical change to the Rules reducing the font size requirement for the public notice in Rules 611 and 712, in the form attached hereto as Exhibit A;

NOW THEREFORE, the Director hereby enters this Summary Order:

1. The phrase “28 point font” shall be stricken from Rule 611 and replaced with the phrase “20 point font.”
2. The phrase “28 point font” shall be stricken from Rule 712 and replaced with the phrase “20 point font.”
3. This Summary Order shall take effect as of January 1, 2015.

So ORDERED this 11th of December, 2014:



Owen Lefkon,
Investor Protection Director

Exhibit A:

611 Public Notice of Delaware Registration for Broker-Dealers

- (a) Broker-dealers registered under the Act with a place of business in Delaware shall prominently display in the public area of each such place of business in ~~28 point font~~ 20 point font or greater in a location visible to all customers and potential customers, a notice stating:

“NOTICE REQUIRED BY LAW

Investment firms and professionals in Delaware must be registered with the Investor Protection Unit of the Delaware Department of Justice. This firm has been so registered. Registration does not mean this business has been approved or reviewed by the Investor Protection Unit.

To check the registration status of any investment firm or professional in Delaware, or to file a complaint with the Investor Protection Unit, please call (302)577-8424 or e-mail Investor.Protection@state.de.us.”

- (b) Upon request the Unit will provide each place of business a sign satisfying this Rule.

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712 Public Notice of Delaware Registration for Investment Advisers

- (a) Investment Advisers registered under the Act with a place of business in Delaware shall prominently display in the public area of each such place of business in ~~28 point font~~ 20 point font or greater in a location visible to all customers and potential customers, a notice stating:

“NOTICE REQUIRED BY LAW

Investment firms and professionals in Delaware must be registered with the Investor Protection Unit of the Delaware Department of Justice. This firm has been so registered. Registration does not mean this business has been approved or reviewed by the Investor Protection Unit.

To check the registration status of any investment firm or professional in Delaware, or to file a complaint with the Investor Protection Unit, please call (302)577-8424 or e-mail Investor.Protection@state.de.us.”

- (b) Upon request the Unit will provide each place of business a sign satisfying this Rule.