

Mississippi Secretary of State

ADMINISTRATIVE PROCEDURES NOTICE FILING

AGENCY NAME Secretary of State		CONTACT PERSON Jessica Leigh Long	TELEPHONE NUMBER 601-359-1650	
ADDRESS 125 S. Congress Street		CITY Jackson	STATE MS	ZIP 39201
EMAIL Jessica.Long@sos.ms.gov	SUBMIT 1-10-22	Name or number of rule(s): Part 14 Chapter 5: Registration of Broker-Dealers and Agents Rules 5.01-5.35		

Short explanation of rule/amendment/repeal and reason(s) for proposing rule/amendment/repeal: attached

Specific legal authority authorizing the promulgation of rule: attached

List all rules repealed, amended, or suspended by the proposed rule: attached

ORAL PROCEEDING:

☐ An oral proceeding is scheduled for this rule on Date: _____ Time: _____ Place: _____

☒ Presently, an oral proceeding is not scheduled on this rule.

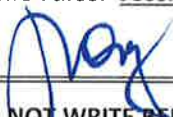
If an oral proceeding is not scheduled, an oral proceeding must be held if a written request for an oral proceeding is submitted by a political subdivision, an agency or ten (10) or more persons. The written request should be submitted to the agency contact person at the above address within twenty (20) days after the filing of this notice of proposed rule adoption and should include the name, address, email address, and telephone number of the person(s) making the request; and, if you are an agent or attorney, the name, address, email address, and telephone number of the party or parties you represent. At any time within the twenty-five (25) day public comment period, written submissions including arguments, data, and views on the proposed rule/amendment/repeal may be submitted to the filing agency.

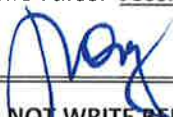
ECONOMIC IMPACT STATEMENT:

☒ Economic impact statement not required for this rule. ☐ Concise summary of economic impact statement attached.

TEMPORARY RULES	PROPOSED ACTION ON RULES	FINAL ACTION ON RULES
_____ Original filing _____ Renewal of effectiveness To be in effect in _____ days Effective date: _____ Immediately upon filing _____ Other (specify): _____	Action proposed: _____ New rule(s) _____ XXXX Amendment to existing rule(s) _____ Repeal of existing rule(s) _____ Adoption by reference Proposed final effective date: _____ XXXX 30 days after filing _____ Other (specify): _____	Date Proposed Rule Filed: February 22, 2021 Action taken: _____ Adopted with no changes in text _____ Adopted with changes _____ Adopted by reference _____ Withdrawn _____ Repeal adopted as proposed Effective date: _____ 30 days after filing _____ Other (specify): _____

Printed name and Title of person authorized to file rules: Jessica Leigh Long, Assistant Secretary of State,
Securities Division

Signature of person authorized to file rules: 

OFFICIAL FILING STAMP	DO NOT WRITE BELOW THIS LINE OFFICIAL FILING STAMP	OFFICIAL FILING STAMP
Accepted for filing by _____	 FILED JAN 10 2022 MISSISSIPPI SECRETARY OF STATE Accepted for filing by <u>26058 Pom</u>	Accepted for filing by _____

The entire text of the Proposed Rule including the text of any rule being amended or changed is attached.

Attachment:

- (a) Short explanation of rule/amendment/repeal and reason(s) for proposing rule/amendment/repeal
- (b) Specific legal authority authorizing the promulgation of rule
- (c) List all rules repealed, amended, or suspended by the proposed rule

- Rule 5.03: (a) correction of citation format,
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.03
- Rule 5.07: (a) edits for clarification, minor grammatical edits
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.07
- Rule 5.13: (a) minor grammatical edits
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.13
- Rule 5.15: (a) correction of citation format
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.15
- Rule 5.19: (a) edits for clarification
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.19
- Rule 5.21: (a) minor grammatical edits, edits for clarification
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.21
- Rule 5.25: (a) minor grammatical edits
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.25
- Rule 5.31: (a) minor grammatical edits
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.31
- Rule 5.35: (a) minor grammatical edits, correction of citation format
(b) *Miss. Code Ann.* § 75-71-605 (2020).
(c) Rule 5.35