

## §16504. Filing of sales and advertising literature

**1. Filing requirement.** A rule adopted or order issued under this chapter may require the filing of a prospectus, a pamphlet, a circular, a form letter, an advertisement, sales literature, some other advertising record relating to a security or investment advice or a business plan addressed or intended for distribution to prospective investors, including clients or prospective clients of a person licensed or required to be licensed as an investment adviser under this chapter. Rules adopted pursuant to this section are routine technical rules as defined in Title 5, chapter 375, subchapter 2-A.  
[PL 2005, c. 65, Pt. A, §2 (NEW).]

**2. Excluded communications.** This section does not apply to sales and advertising literature specified in subsection 1 that relates to a federal covered security, a federal covered investment adviser or a security or transaction exempted by section 16201, 16202 or 16203 except as required pursuant to section 16201, subsection 7 and section 16202, subsections 15 and 24.  
[PL 2005, c. 65, Pt. A, §2 (NEW).]

### SECTION HISTORY

PL 2005, c. 65, §A2 (NEW).

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