

**STATE OF MAINE
OFFICE OF SECURITIES
121 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0121**

ORDER EXTENDING ORDER NO. 2020-)
11 ADDRESSING DISRUPTIONS IN) ORDER No. 2020-18
INVESTMENT ADVISER AND)
BROKER-DEALER OPERATIONS AND)
SECURITIES REGISTRATIONS)
RESULTING FROM CORONAVIRUS)

ORDER

WHEREAS, an Order Addressing Disruptions in Investment Adviser and Broker-Dealer Operations and Securities Registrations Resulting From Coronavirus, Order No. 2020-11, was issued by the Securities Administrator on March 25, 2020;

WHEREAS, the Order provides temporary relief from certain regulatory requirements for the securities industry which is experiencing disruptions in business as a result of the covid-19 pandemic;

WHEREAS, the Order is set to expire on May 1, 2020;

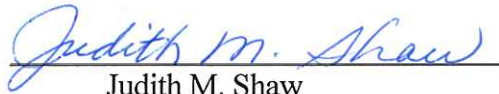
WHEREAS, the disruption to the securities industry caused by the covid-19 pandemic is expected to continue beyond May 1, 2020 necessitating continued relief;

NOW, THEREFORE, under the authority of Sections 16307, 16406(5), and 16605 of the Maine Uniform Securities Act, it is hereby ORDERED that:

1. Expiration of Order No. 2020-11, an Order Addressing Disruptions in Investment Adviser and Broker-Dealer Operations and Securities Registrations Resulting From Coronavirus, is extended until June 30, 2020.
2. The Order remains unchanged in all other respects.

The provisions contained in Order No. 2020-11 are temporary and shall remain in effect only until June 30, 2020, unless the Order is subsequently modified, extended or rescinded.

Dated: April 24, 2020


Judith M. Shaw
Securities Administrator