

WAC 460-16A-033 Renewal of registration of securities by coordination.

(1) An issuer may renew the registration of an offering of securities registered by coordination under RCW 21.20.180 for each additional twelve-month period in which the offering is continuing. To renew an offering, the issuer must file the following with the securities division no later than thirty days prior to the expiration date of the current registration permit:

(a) A completed application on Form U-1 marked "renewal";

(b) A renewal fee of one hundred dollars, as specified in RCW 21.20.340(3);

(c) A copy of the prospectus or offering document that has been amended in accordance with WAC 460-16A-126 to reflect all material changes that affect the offering. The prospectus or offering document must be dated within the past twelve months;

(d) The financial statements required by RCW 21.20.180(8), dated as of the end of the issuer's most recent fiscal year; and

(e) A sales report, dated as of the most recent practicable date, containing the dollar amount of each class of securities sold in the state during the current registration period.

(2) The registration of an offering of securities shall not be considered renewed until the securities division has issued a permit renewing the registration.

(3) An issuer may increase the amount of securities registered in the state at the time it renews its registration by amending the application form to reflect the increased amount of securities to be registered and paying the fee specified in RCW 21.20.340(3) to register the additional amount of securities.

[Statutory Authority: RCW 21.20.180, 21.20.210, 21.20.260, 21.20.340, and 21.20.450. WSR 15-23-070, § 460-16A-033, filed 11/16/15, effective 12/17/15.]