

20 States adopted M&A-specific relief

1. Alaska Sec. 45.56.420 Registration Exemption for Merger and Acquisition Broker (2019-01-22)
2. Arkansas Rule 302.01, Merger Acquisition Broker Exemption (2020-10-05)
3. Colorado Rule 51-3.33 Licensing Exemption for Merger and Acquisition Brokers (2017-07-15)
4. Florida Section 517.12(22)(a) Merger and Acquisition Broker Exemption (2017-09-07)
5. Georgia M&A Broker No-Action Letter (2015-01-23)
6. Illinois Section 130.830 Registration Exemption for M&A Brokers (2016-11-30)
7. Iowa Section 191-50.10(502) Broker-Dealer Registration - Exemptions (2018-05-08)
8. Maryland Order - M&A Broker Dealer (2017-12-07)
9. Michigan Rule 4.2 Merger and Acquisition Broker Exemption (2019-07-03)
10. Mississippi Rule 5.35 Registration Exemption for Merger and Acquisition Brokers (2018-06-03)
11. Montana Rule 6.10.308 Merger and Acquisition Broker Exemption (2020-10-24)
12. Nebraska Interp. Opinion No. 19 – Merger & Acquisition Brokers (2019-08-09)
13. Oklahoma Rule 660 11-5-26 Merger and Acquisition Broker Exemption (2020-11-01)
14. Pennsylvania - M&A Broker No-Action Letter (2016-01-25)
15. South Carolina - M&A Broker No-Action Letter (2014-11-12)
16. South Dakota Rule 20.08.03.18 Business Brokers (2019-02-18)
17. Tennessee Securities Bulletin - M&A Brokers (2017-09-11)
18. Texas Rules Section 139.27 M&A Dealer Exemption (2016-02-25)
19. Utah Policy Position Letter - M&A and Business Broker (2014-02-28)
20. Vermont Section 3-4 Registration Exemption for M&A Broker Dealers (2016-11-21)