

Send to: Utah Division of Securities 160 East 300 South 2<sup>nd</sup> Floor PO Box 146704 Salt Lake City, UT 84114-6760 Fax: (801) 530-6980 E-mail: securities@utah.gov

# **REGULATORY SANDBOX - NOTICE OF CHANGE FORM**

This form must be submitted to <u>sandbox@utah.gov</u> at least five (5) calendar days before the effective date of change.

## I. <u>CHANGE TYPE</u>

Ownership Change	
------------------	--

Active Manager Change

Other Change

## II. <u>COMPANY IDENTIFYING INFORMATION</u>

Name

Participation Number

**III.** <u>**OWNERSHIP & MANAGEMENT CHANGE**</u> (Use a separate sheet if necessary) List all individuals and entities who manage, own, or no longer own, in the aggregate, directly or indirectly, 15% or more of the Sandbox Participant after the impending change.

Add	Terminate	Effective Date		
Full Name/Entity			DOB/State of Incorporation	
Address (of primary	residence or business)	City	State	Zip Code
Title		Responsibilities		
Add	Terminate	Effective Date		
Full Name/Entity			DOB/State of Incorporation	
Address (of primary	residence or business)	City	State	Zip Code
Title		Responsibilities		

Add	Terminate	Effective Date		
Full Name/Entity			DOB/State of Incorporation	
Address (of primary residence or business)		City	State	Zip Code
Title		Responsibilities		
Add	Terminate	Effective Date		
Full Name/Entity			DOB/State of Incorporation	
Address (of primary	residence or business)	City	State	Zip Code
Title		Responsibilities		
Add	Terminate	Effective Date		
Full Name/Entity			DOB/State of Incorporation	
Address (of primary residence or business)		City	State	Zip Code
Title		Responsibilities		

# IV. <u>AUTHORIZATION</u>

I hereby certify that to the best of my knowledge, this Notice of Change Form contains no misrepresentation or omissions of material facts. (Must be signed by one of the Key Personnel on file with our office.)

Signature

Date

Print Name

Title

#### Important notice regarding business confidentiality claims pursuant to the Government Records Access and

**Management Act:** If you wish to make a claim of business confidentiality with respect to any information in this application or with respect to records you provide to the Department, please be aware of the following law: "Any person who provides to a governmental entity a record that the person believes should be protected under 63G-2-305(1) [trade secrets] or (2) [commercial information or nonindividual financial information] or both Subsections 63G-2-305(1) and (2) shall provide with the record: (A) a written claim of business confidentiality; and (B) a concise statement of reasons supporting the claim of business confidentiality."

### Written claim of business confidentiality

Concise statement of reasons supporting the claim of business confidentiality