

POLICY STATEMENT ON THE CORRECTION OF AN ADMINISTRATIVE ERROR

The following policy shall be in effect as of May 31, 1991 and remain in effect unless rescinded or modified by the Bureau Director.

An administrative error is an examiner's oversight of a statutory requirement resulting in a defect in the filed document.

Administrative errors in filed documents shall be corrected by filing a Certificate of Correction. The examiner will prepare a Certificate of Correction, and send it with a cover letter which explains the error, waives the filing fee of the certificate and requests the appropriate signature and return of the Certificate of Correction.

If the executed Certificate of Correction is not returned within 15 days, the letter regarding that matter will be scanned 998.

However, if a document stamped "filed" has not been entered on any record system and no copy has been given to the public, it will be returned to the examiner for appropriate action rather than requiring a Certificate of Correction.

Documents "filed" at the counter may not be adjusted after the certificate of filing has been issued, however, a Certificate of Correction will be requested if an error is discovered.

A document may be rescanned or re-filmed due to poor film quality, operator error or examiner procedural omissions (i.e. missing stamps, missing or incorrect dates.)

Approved by Carl L. Tyson, Director
Corporation and Securities Bureau
on June 11, 1991