

AMENDMENTS TO REGULATION 6.090(11)

Adopted: 9/21/2023

PURPOSE: To amend NGC Regulation 6.090(11) to require that licensees submit a complete copy of their internal control system when reporting amendments made since the previous annual report—not reported pursuant to NGC Regulation 6.090(10) and to expand those eligible to sign the amendments to a comparable position of the licensee’s chief financial officer; and to take such additional action as may be necessary and proper to effectuate these stated purposes.

REGULATION 6

ACCOUNTING REGULATIONS

EFFECTIVE DATE: September 21, 2023

Matter in *blue italics* is new language and matter in [red and bracketed] is material to be omitted.

6.090(11) Internal control for Group I licensees.

1. [No change]
2. [No change]
3. [No change]
4. [No change]
5. [No change]
6. [No change]
7. [No change]
8. [No change]
9. [No change]
10. [No change]
11. Each licensee shall annually report any amendments to the licensee’s procedures and written system, not reported pursuant to Regulation 6.090(10), that have been made since the previous annual report. The report must include [either] a *complete* copy of the written system as amended [or a copy of each amended page of the written

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system,] and a written description of the amendments signed by the licensee's chief financial officer *or comparable position*.

12. [No change]

13. [No change]

14. [No change]

15. [No change]