

Filed Sept. 20, 1966
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SEC 3

STATE OF WISCONSIN)
DEPARTMENT OF SECURITIES)

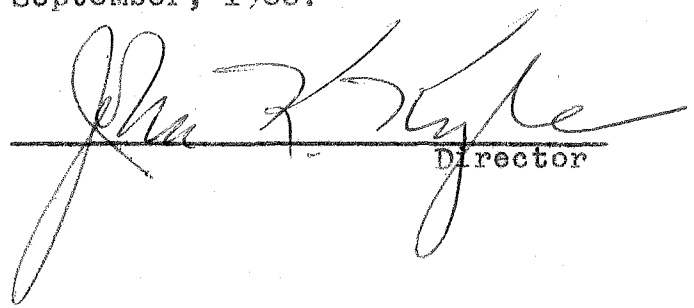
SS

TO ALL TO WHOM THESE PRESENTS SHALL COME, GREETINGS:

I, John K. Kyle, Director of the Department of Securities, and custodian of the official records of the said Department, do hereby certify that the annexed repealed and re-created rules relating to securities, were duly approved and adopted by this Department on September 16, 1966.

I further certify that said copy has been compared by me with the original on file in this Department and that the same is a true copy thereof, and is of the whole of such original.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed the official seal of the Department at the Hill Farms State Office Building, in the city of Madison, this 16th day of September, 1966.



Director

ORDER OF THE DEPARTMENT OF SECURITIES
REPEALING AND RE-CREATING RULES

Pursuant to authority vested in the Wisconsin Department of Securities by section 189.17 (2) of the Wisconsin Statutes, the department, by the Director, hereby repeals and re-creates sections of Chapter SEC of the Wisconsin Administrative Code as follows:

Section SEC 3.02 of the Wis. Admin. Code is repealed and re-created to read:

SEC 3.02 Place. Unless otherwise specifically provided by law or ordered in the order for hearing, all hearings shall be held at the office of the Department of Securities, Hill Farms State Office Building, Madison, Wisconsin.

Section SEC 3.07 of the Wis. Admin. Code is repealed and re-created to read:

SEC 3.07 Service. Unless otherwise provided by law all orders, notices and other papers may be served by first class or certified mail addressed to the party at his last known postoffice address or to his attorney of record, except that when the department deems it appropriate such orders, notices and other papers may be served by every sheriff or other officer empowered to execute civil processes. Papers requiring to be filed with the department may be mailed to the following address:

535 Hill Farms State Office Building
Madison, Wisconsin 53702

Form A (section SEC 3.18 (1) Wis. Admin. Code

is repealed and re-created to read:

BEFORE THE DEPARTMENT OF SECURITIES
STATE OF WISCONSIN

In the Matter of _____)
(here to be inserted the license)
that is involved) of _____) File No. _____
(here insert name of)
the party), Respondent.)

NOTICE OF AND ORDER FOR HEARING

I

The official files of the State of Wisconsin Department of Securities disclose that:

(Here state the license now held by the party, together with the date when such license was issued.)

II

The Director of the Department of Securities has caused to be made an investigation of the books and records of _____ (party), a true copy of which is attached hereto and made a part hereof as though set forth in particular, by representatives of the Department, and as a consequence thereof has reasonable grounds to believe:

A

(Here to be inserted a summation of the charges or matters involved, stated with particularity but as briefly as possible, each separate matter being given a separate paragraph, number or letter, and numbered or lettered consecutively. In any case where a statute or rule is believed to have been violated, the section, subsection and subdivision number of the said statute or rule is to be inserted.)

III

NOW, THEREFORE, IT IS ORDERED;

1. That a hearing be held to determine whether grounds exist for the revocation of the license to sell securities heretofore issued to _____, Respondent, pursuant to the provisions of section 189.04 (2) and (3), Wis. Stats.;

2. That the hearing be held at the offices of the Department of Securities, 535 Hill Farms State Office Building, the city of Madison, Wisconsin, at _____ o'clock on the _____ day of _____, A.D. 19____.

3. That a true copy of this order and of the notice of hearing made a part hereof be served on the Respondent, by registered mail, not less than five days prior to the time of the hearing.

Date at Madison, Wisconsin, this _____ day of _____, A.D. 19____.

By the DEPARTMENT OF SECURITIES

Director

(or authorized subordinate)

Chapter SEC 8 of the Wis. Admin. Code is repealed and re-created to read:

SEC 8.01 Forms. (May be obtained from Department of Securities, 535 Hill Farms State Office Building, Madison, Wisconsin. 53702)

- (1) Application for registration of securities (to be used only by issuer which has operated less than a year) (Form 1)
- (2) Finance Company report of sale of notes in Wisconsin (Form 2a)
- (3) Application for dealer's license (Form 3)
- (4) Dealer's report of sales of securities (Form 4)
- (5) Notice of sales of securities in advance of registration (Form 5)
- (6) Uniform consent to service of process (Dealer) (Form 9)
- (7) Appointment of attorney for service of process (Investment Adviser) (Form 9a)
- (8) Application for agent's license (Form 10)
- (9) Application for registration of securities (Form 11)
- (10) Application for bank license (Form 15)

- (11) Dealer's part of solicited agency transactions Wisconsin (Form 16)
- (12) Application for renewal of dealer's license (Form 17)
- (13) Application for renewal of agent's license (Form 18)
- (14) Application for renewal of registration of securities (Form 20)
- (15) Uniform consent to service of process (Uniform Applicant) (Form 21)
- (16) Uniform Corporate Resolution (Form 21-A)
- (17) Application for investment adviser's license (Form 22)
- (18) Renewal application for investment adviser's license (Form 22-A)
- (19) Sale by notification Pursuant to Sec. 189.08 (1) (a) (Form 189.08 (a))
- (20) Sale by notification Pursuant to Sec. 189.08 (1) (b) (Form 189.08 (b))
- (21) Sale by notification Pursuant to Sec. 189.08 (1) (c) (Form 189.08 (c))
- (22) Sale by notification Pursuant to Sec. 189.08 (1) (d) (Form 189.08 (d))
- (23) Sale by notification Pursuant to Sec. 189.08 (1) (e) (Form 189.08 (e))
- (24) Sale by notification Pursuant to Sec. 189.08 (1) (f) (Form 189.08 (f))

The repeals and re-created rules contained herein shall take effect as provided in section 227.026 Wis. Stats.

September 16, 1966

DEPARTMENT OF SECURITIES

John K. Kyle, Director