

Chapter SEC 9

FORMS

SEC 9.01 Forms

Note: Renumbered from SEC 8, Register, December, 1977.

SEC 9.01 Forms. (1) The following forms are prescribed for use under ch. 551, Stats., and may be obtained from the office of the commissioner of securities, Madison, Wisconsin:

(a) Securities registration application and reporting forms:

1. U-1. Uniform application to register securities.
2. U-2. Uniform consent to service of process.
3. RS-IC. Investment company report of sales.
4. RS-FC. Finance company report of sales.
5. U-7 Small corporate offering registration form.

(b) Licensing application and reporting forms:

1. BD. Uniform application for registration, license, or membership as a broker-dealer or to amend such application.
2. U-4. Uniform application for securities industry registration.
3. BDR(WI). Application for renewal of broker-dealer and agent license.
4. BDW(WI). Application for withdrawal from the status of a licensed broker-dealer.
5. U-5. Uniform termination notice for securities industry representative and/or agent.
6. ASIM(WI) Application for agent license to simultaneously represent more than one broker-dealer or issuer.
7. AIR. Application for renewal of an agent for issuer license.
8. IA. Wisconsin investment adviser license application.
9. IA RepA. Application for qualification as an investment adviser representative.
10. IAR(WI). Application for renewal of investment adviser license and qualification of adviser representatives.
11. IAW(WI). Application for withdrawal from the status of a licensed investment adviser.
12. IA Rep W. Application for withdrawal from the status of a qualified investment adviser representative.
13. CSP. Consent to service of process by broker-dealer or investment adviser.
14. RS-BD. Broker-dealer report of sales.

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15. BDBrO(WI). Broker-dealer Wisconsin branch office report.
16. Fiduciary activities questionnaire.
17. Summary of fiduciary operations information.

(2) Any other application, form or notice under ch. 551, Stats., shall include the information specified in the applicable statutory section or rule, and may be filed with the commissioner in the form of a letter or memorandum.

History: Cr. Register, December, 1969, No. 168, eff. 1-1-70; r. and recr. Register, August, 1972, No. 200, eff. 9-1-72; renum. from SEC 8 and am. Register, December, 1977, No. 264, eff. 1-1-78; r. and recr. (1), Register, December, 1979, No. 288, eff. 1-1-80; am. (1) (b) 2., renum. (1) (b) 6. through 12. to be 7. through 13., cr. (1) (b) 6., Register, December, 1981, No. 312, eff. 1-1-82; r. (1) (a) 3., renum. (1) (a) 4. and 5. to be (1) (a) 3. and 4., Register, December, 1983, No. 336, eff. 1-1-84; cr. (1) (b) 14., Register, December, 1985, No. 360, eff. 1-1-86; cr. (1) (b) 15. and 16., Register, December, 1986, No. 372, eff. 1-1-87; renum. (1) (b) 6. to 16. to be 7. to 17., cr. (1) (b) 6., Register, December, 1988, No. 396, eff. 1-1-89; cr. (1) (a) 5., Register, December, 1989, No. 408, eff. 1-1-90.