

## Chapter SEC 8

## FORMS

## SEC 8.01 Forms

**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 report of solicited agency transactions in Wisconsin (Form 16)
- (12) Application for renewal of dealer's license (Form 17)
- (13) Application for renewal of agent's license (Form 19)
- (14) Application for renewal of registration of securities (Form 20)
- (15) Uniform consent to service of process (Issuer 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))

**History:** 1-2-56; am. intro. par. Register, February, 1960, No. 50, eff. 3-1-60; r. and recr., Register, October, 1966, No. 130, eff. 11-1-66.

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