

Chapter SEC 8**FORMS****SEC 8.01 Forms**

SEC 8.01 Forms. (1) The following forms are prescribed for use in this state and may be obtained from the office of the commissioner of securities, Madison, Wisconsin:

- U-1—Uniform application to register securities
- U-2—Uniform consent to service of process
- U-3—Uniform application for broker-dealer's or investment adviser's license
- L-1—Application for renewal of broker-dealer's license
- L-2—Application for renewal of agent's license
- L-3—Application for renewal of investment adviser's license
- R-1—Order of registration
- R-2—Order of registration (investment company shares)
- R-3—Order of amendment
- R-4—Order of extension
- R-5—Order of exemption

(2) Any other application or notice may be filed containing the information specified in the applicable rule.

History: Cr. Register, December, 1969, No. 168, eff. 1-1-70.