

**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 license as broker-dealer or investment adviser.

A-1. Application to register securities by qualification.

A-2. Consent to service of process by issuer or applicant.

A-3. Consent to service of process by broker-dealer or investment adviser.

A-4. Renewal application for broker-dealer license.

A-5. Renewal application for agent license.

A-6. Renewal application for investment adviser license.

A-7. Application for withdrawal of agent license.

O-1. Registration order.

O-2. Registration order for investment company.

O-3. Amendment order.

O-4. Extension order.

O-5. Exemption order.

O-6. Exemption order for secondary trading.

R-1. Broker-dealer report of sales.

R-2. Issuer report of sales.

R-3. Investment company report of sales.

R-4. Finance company report of sales of notes.

R-5. Broker-dealer report of net capital computation.

R-6. Issuer report of sales in limited offering.

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

**History:** Cr. Register, December, 1969, No. 168, eff. 1-1-70; r. and recr. Register, August, 1972, No. 200, eff. 9-1-72.