

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. BDAA. Broker-dealer application activities questionnaire.
8. BDUSR (WI). Acknowledgment of understanding of supervisory responsibilities of broker-dealers under Wisconsin statutes and administrative code.
9. BDDS(WI). Designation of broker-dealer supervisor.
10. BDBrO(WI). Broker-dealer Wisconsin branch office designated location renewal.

11. AIR. Application for renewal of an agent for issuer license.

12. ADV. Uniform application for investment adviser registration.

13. IAR(WI). Application for renewal of investment adviser license and qualification of adviser representatives.

14. IAW(WI). Application for withdrawal from the status of a licensed investment adviser.

15. IAAA. Investment adviser applicant activities questionnaire.

16. IAPC. Investment adviser supervisory procedures checklist.

17. IADS. Designation of investment adviser supervisor.

18. IAUSR (WI). Acknowledgment of understanding of supervisory responsibilities of investment adviser under Wisconsin statutes and administrative code.

19. IAFC (WI). Financial certification by investment adviser that it will comply with the net capital requirement at all times.

(c) SOI Solicitation of interest form

(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; r. and recr. (1) (b) 8., r. (1) (b) 14., renum. (1) (b) 15. to 17. to be 14. to 16., Register, December, 1990, No. 420, eff. 1-1-91; r. (1) (b) 9., 12., 13., 15., 16., renum. (1) (b) 7., 8., 10., 11. and 14. to be 11. to 14. and 10. and am. 10., cr. (1) (b) 7. to 9., 15. to 17., Register, December, 1994, No. 468, eff. 1-1-95; am. (1) (a) 8., cr. (1) (a) 18. and 19. and (c), Register, December, 1995, No. 480, eff. 1-1-96.