

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.