

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 chapter 551, Wis. Stats., 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 investment adviser.

U-4. Uniform application for securities and commodities industry representative and/or agent.

U-5. Uniform termination notice for securities industry representative and/or agent.

BD. Uniform application for registration, license, or membership as a broker-dealer or to amend such application.

BDR (WI). Application for renewal of broker-dealer and agent license.

BDW (WI). Application for withdrawal from the status of a licensed broker-dealer.

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

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

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

RS-BD. Broker-dealer report of sales.

RS-I. Issuer report of sales.

RS-IC. Investment company report of sales.

RS-FC. Finance company report of sales.

RNC-BD. Broker-dealer report of net capital computation.

(2) Any other application, form or notice under chapter 551, Wis. 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.