

Chapter SEC 8

FORMS

SEC 8.01 Forms

SEC 8.02 Uniform application for
qualification of securities

SEC 8.01 Forms. (May be obtained from Department of Securities,
325 State Office Building, Madison, Wisconsin.)

- (1) Application for agent's license (Form 10)
- (2) Application for bank license (Form 15)
- (3) Application for dealer's license (Form 3)
- (4) Application for registration of securities (Form 11)
- (5) Application for registration of securities (to be used only by issuer which has operated less than a year) (Form 1)
- (6) Application for renewal of agent's license (Form 19)
- (7) Application for renewal of dealer's license (Form 17)
- (8) Application for renewal of registration of securities (Form 20)
- (9) Appointment of attorney for service of process (Issuer Applicant) (Form 21)
- (9) (a) Appointment of attorney for service of process (Investment Advisers)
- (10) Appointment of attorney for service of process (Dealer's License) (Form 9)
- (11) Dealer's report of sale of securities in Wisconsin (Form 4)
- (12) Dealer's report of solicited agency transactions in Wisconsin (Form 16)
- (13) Impounding agreement (suggested form)
- (14) Issuer's report of sale of securities in Wisconsin (Form 2)
- (15) Notice of sale of securities in advance of registration (Form 5)
- (16) Sale by notification [Pursuant to Sec. 189.08 (1) (a)] (Form 189.08 (a))
- (17) Sale by notification [Pursuant to Sec. 189.08 (1) (b)] (Form 189.08 (b))
- (18) Sale by notification [Pursuant to Sec. 189.08 (1) (c)] (Form 189.08 (c))
- (19) Sale by notification [Pursuant to Sec. 189.08 (1) (d)] (Form 189.08 (d))
- (20) Sale by notification [Pursuant to Sec. 189.08 (1) (e)] (Form 189.08 (e))
- (21) Sale by notification [Pursuant to Sec. 189.08 (1) (f)] (Form 189.08 (f))
- (22) Application for investment adviser's license.

SEC 8.02 Uniform application for qualification of securities. This form is a specimen form only and application shall not be submitted on this specimen printed form. In preparing applications in this form, each interrogatory appearing in the form should be written out in full and then fully answered. All applications, exclusive of exhibits, shall be typed or printed on good quality, unglazed white paper, 8½ x 13 inches in size. Tables and financial data, however, may