

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.