

## Chapter DFI-Sec 9

## FORMS

DFI-Sec 9.01 Forms.

**Note:** Renumbered from SEC 8, Register, December, 1977. Chapter SEC 9 was renumbered chapter DFI-Sec 9 under s. 13.93 (2m) (b) 1., Stats., and corrections made under s. 13.93 (2m) (b) 6. and 7., Stats., Register, December, 1996, No. 492.

**DFI-Sec 9.01 Forms. (1)** The following forms are prescribed for use under ch. 551, Stats., and may be obtained from the division 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. U-7. Small corporate offering registration form.
- (b) Registration application, notice filing, and reporting forms:
  1. BD. Uniform application for registration 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 registration.
  4. U-5. Uniform termination notice for securities industry representative and/or agent.
  5. ASIM (WI). Application for agent registration to simultaneously represent more than one broker-dealer or issuer.
  6. BDAA. Broker-dealer application activities questionnaire.
  7. BR. Broker-dealer uniform branch office registration form.
  8. AIR. Application for renewal of an agent for issuer registration.
  9. ADV. Uniform application for investment adviser registration, and the form that shall be used by a federal covered investment adviser making an initial or renewal filing under s. 551.405 (3) or (4), Stats.
  11. IAAA. Investment adviser applicant activities questionnaire.

12. IADS. Designation of investment adviser supervisor.

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

15. ADV-W. Application for withdrawal of investment adviser registration.

(c) SOI Solicitation of interest form.

(d) NF. Uniform investment company notice filing.

(e) AI. Model accredited investor exemption uniform notice of transaction.

**(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 division in the form of a letter or memorandum.

**Note:** The address for the division of securities is 4822 Madison Yards Way, North Tower, 4th Floor, P.O. Box 1768, Madison, WI 53701-1768. The telephone number for the division is 608-261-9555. The internet address is <http://www.wdfi.org/fi/securities/>.

**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; r. (1) (a) 4., renum. (1) (a) 5. to be (1) (a) 4., Register, December, 1996, No. 492, eff. 1-1-97; correction in (1) (intro.) and (2) made under s. 13.93 (2m) (b) 6., Stats., Register, April, 1998, No. 508; am. (1) (b) (intro.), 12. and 13., cr. (1) (b) 20. and (d), Register, December, 1998, No. 516, eff. 1-1-99; r. (1) (a) 3., (b) 4., 14. and 16., renum. (1) (a) 4., (b) 5. to 13., 15. and 17. to 20. to be (1) (a) 3. and (b) 4. to 17., Register, December, 1999, No. 528, eff. 1-1-00; CR 01-083: cr. (1) (e), Register December 2001 No. 552, eff. 1-1-02; CR 02-102: r. (1) (b) 7. and 8., renum. (1) (b) 9. to 17. to be (1) (b) 7. to 15., Register December 2002 No. 564, eff. 1-1-03; CR 08-077: am. (1) (b) (intro.), 1., 3., 5., 7. to 10. and 15. Register December 2008 No. 636, eff. 1-1-09; CR 09-056: r. (1) (b) 10. and 13. Register December 2009 No. 648, eff. 1-1-10.