

Sec. 36b-31-31a. Forms

(a) The following forms, as amended from time to time, are prescribed for use under the Act and sections 36b-31-2 to 36b-31-3, inclusive, of the regulations:

(1) Uniform Application to Register Securities (Form U-1 or CT-3) (used for registration by coordination and registration by qualification);

(2) Uniform Consent to Service of Process (Form U-2 or CT-4) (used with registration of securities);

(3) Uniform Form of Corporate Resolution (Form U-2A) (used with Form U-2 or CT-4);

(4) Small Corporate Offering Registration Form or SCOR (Form U-7) (used for registering by qualification certain offerings exempt from federal registration under Rule 504 of Regulation D);

(5) Uniform Application for Registration as a Broker-Dealer or to Amend such an Application (Form BD);

(6) Uniform Application for Securities and Commodities Industry Representative and/or Agent (Form U-4) (used for agent of broker-dealer, agent of issuer and investment adviser agent registration);

(7) Uniform Notice of Withdrawal from Registration as a Broker-dealer (Form BDW);

(8) Uniform Termination Notice for Securities Industry Representative and/or Agent (Form U-5) (used for termination of agent and investment adviser agent registration);

(9) Uniform Application for Registration as Investment Adviser or to Amend such an Application (Form ADV);

(10) Uniform Notice of Withdrawal from Registration as an Investment Adviser (Form ADV-W);

(11) Form D (used for certain offerings made pursuant to sections 36b-21 (b) (9) and 36b-21 (b) (13) of the general statutes);

(12) Form BR-1 (used for broker-dealer and investment adviser branch office registration);

(13) Form BR-2 (used for termination of broker-dealer and investment adviser branch office registration); and

(14) Form DBA-1 (used for reporting trade names of registrants).

(b) The forms prescribed in this section except Forms BD, BDW, D, U-4, U-5, ADV and ADV-W may be obtained on request addressed to the Securities and Business Investments Division of the Connecticut Department of Banking. Accurate reproductions of forms may also be used. Securities and Exchange Commission Forms BD, BDW and D may be obtained from the United States Securities and Exchange Commission, and Forms U-4 and U-5 from any national securities exchange or from the National Association of Securities Dealers, Inc. The commissioner reserves the right to issue revisions or amendments to the forms from time to time.

(c) Only an executed copy of any form should be filed with the commissioner.

(Effective August 22, 1994; Transferred July 3, 1995)