

## CHAPTER 6. FORMS

### SUBCHAPTER 3. FORMS FOR GENERAL PURPOSES

#### 660:6-3-1. Forms to inspect or copy records

(a) **Forms.** The following forms are required to obtain records of the Department under the Open Records Act:

- (1) ~~OAD-25~~ -- Request for Record Inspection
- (2) ~~OAD-26~~ -- Record Inspection Delay Notice
- (3) ~~OAD-27~~ -- Record Inspection Denial
- (4) ~~OAD-28~~ -- Request for Record Copy
- (5) ~~OAD-29~~ -- Record Copy Delay Notice
- (6) ~~OAD-30~~ -- Record Copy Denial

(b) **Obtaining forms.** The referenced forms are available on the Department's website at <http://www.securities.ok.gov/>.

### SUBCHAPTER 5. FORMS USED UNDER THE SECURITIES ACT

#### 660:6-5-1. Forms for registration or exemption of securities

(a) **Forms.** The following is a list of forms accepted by the Department in connection with the registration or exemption of securities under the Securities Act:

- (1) U-1 -- Uniform Application to Register Securities
- (2) U-2 -- Uniform Consent to Service of Process
- (3) U-2A -- Uniform Form of Corporate Resolution
- (4) U-7 -- Small Company Offering Registration Form
- (5) NF -- Uniform Investment Company Notice Filing
- (6) Form D -- Notice of Exempt Offering of Securities
- (7) NASAA Model Accredited Investor Exemption Notice of Transaction Form
- (8) Oklahoma Accredited Investor Exemption Supplemental Information Form
- (9) ~~Oklahoma Notice of Regulation A Tier 2 Offering Form (or equivalent uniform form)~~ NASAA Uniform Notice Filing of Regulation A – Tier 2 Offering
- (10) ~~Part 1 of Federal Form 1-A~~

(b) **Obtaining forms.** The referenced forms are available on the Department's website at <http://www.securities.ok.gov/>.

#### 660:6-5-2. Forms for securities industry registration

(a) **Forms.** The following is a list of forms used by the Department in connection with registering persons as broker-dealers, agents, non-FINRA principals, issuer agents, investment advisers or investment adviser representatives, under the Securities Act:

- (1) BD -- Uniform Application for Broker-Dealer Registration
- (2) BDW -- Uniform Request for Broker-Dealer Withdrawal
- (3) ADV -- Uniform Application for Investment Adviser Registration and Report by Exempt Reporting Advisers
- (4) ADV-W -- Uniform Application for Investment Adviser Withdrawal
- (5) U-2 -- Uniform Consent to Service of Process
- (6) U-2A -- Uniform Form of Corporate Resolution
- (7) U4 -- Uniform Application for Securities Industry Registration or Transfer
- (8) U5 -- Uniform Termination Notice for Securities Industry Registration
- (9) ~~U10 -- Uniform Examination Request for Non-FINRA Candidates~~ Form BR – Uniform Branch Office Registration Form
- (10) ~~OSD-001~~ -- Applicant Management Certification for Non-FINRA Principals
- (11) ~~OSD-008~~ -- Application for Renewal of Non-FINRA Broker-Dealer Registration
- (12) ~~OSD-016~~ -- Application for Renewal of Non-FINRA Broker-Dealer Principal Registration
- (13) ~~OSD-018~~ -- Applicant/Management Certification for Issuer Agents
- (14) ~~OSD-019~~ -- Application for Renewal of Non-FINRA Broker-Dealer Agent Registration
- (15) Personal Financial Statement

(b) **Obtaining forms.** The referenced forms are available on the Department's website at <http://www.securities.ok.gov/>.

#### 660:6-5-3. Form to file a notice of financial exploitation

(a) **Forms.** The following form is used to file a notice of financial exploitation of a vulnerable adult as required by 660:11-15-2: Financial Exploitation Form.

(b) **Obtaining forms.** The referenced form is available on the Department's website at <http://www.securities.ok.gov/>.

## SUBCHAPTER 9. FORMS USED UNDER THE LAND SALES ACT

### 660:6-9-2. Forms for licensing of agents [REVOKED]

(a) ~~Forms.~~ The following is a list of forms required by the Department in connection with the licensing of agents under the Land Sales Act: LRF-632—Application for License for Subdivided Land Sales Agent

(b) ~~Obtaining form.~~ The form listed in Subsection (a) may be obtained from the Department: