

**TITLE 660. DEPARTMENT OF SECURITIES
CHAPTER 6. FORMS**

SUBCHAPTER 1. FORMS FOR GENERAL PURPOSES

660:6-3-1. Forms to inspect or copy records [AMENDED]

(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/>.

660:6-3-2. Forms to file a complaint [AMENDED]

(a) **Form.** The following form is used to file a complaint with the Department: ~~OEN-002--~~ Complaint Form.

(b) **Obtaining form.** ~~The form listed in Subsection (a) of this Section may be obtained from the Department.~~ The referenced form is 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 [AMENDED]

(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
- ~~(8)~~(9) Oklahoma Notice of Regulation A Tier 2 Offering form-Form (or equivalent uniform form)
- (10) Part 1 of Federal Form 1-A

(b) **Obtaining forms.**

(1) Copies of forms listed in (a)(1) through (6) of this Section, can be obtained from The North American Securities Administrators Association, Inc. at 10 G Street Northeast, Suite 710, Washington, D.C. 20002 or on the NASAA web site at <http://www.nasaa.org/>.

(2) Copies of Form D may be obtained from The Public Reference Branch of the main office of the SEC, 450 5th Street N.W., Washington, D.C. 20549, from any of the regional or branch offices of the SEC, or on the SEC web site at <http://www.sec.gov/>.

(3) Copies of the form listed in (a)(8) of this Section can be obtained from the Department.

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

660:6-5-2. Licensing Forms Forms for securities industry registration [AMENDED]

(a) **Forms.** The following is a list of forms used by the Department in connection with licensing 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-Dealers, Investment Advisers and Agents~~ Broker-Dealer Registration
- (2) ~~BDW~~ -- Uniform Request for Broker-Dealer Withdrawal
- (2)(3) ~~ADV~~ -- Uniform Application for Investment Adviser Registration and Report by Exempt Reporting Advisers
- (4) ~~ADV-W~~ -- Uniform Application for Investment Adviser Withdrawal
- (3)(5) ~~U-2~~ -- Uniform Consent to Service of Process
- (4)(6) ~~U-2A~~ -- Uniform Form of Corporate Resolution
- (5)(7) ~~U-4~~ U4 -- Uniform Application for Securities Industry Registration or Transfer
- (6)(8) ~~U-5U5~~ -- Uniform Application for ~~Termination of Registration~~ Termination Notice for Securities Industry Registration
- (7)(9) ~~U-10U10~~ -- Uniform Examination Request for ~~Non-NASD~~ Non-FINRA Candidates
- (8)(10) ~~OBD-001~~ -- Applicant/Management Certification for ~~Non-NASD~~ Non-FINRA Principals
- (9)(11) ~~OBD-008~~ -- Application for Renewal of ~~Non-NASD~~ Non-FINRA Broker-Dealer Registration
- (10) ~~OBD-015~~ -- Application for Renewal of Issuer Agent Registration
- (11)(12) ~~OBD-016~~ -- Application for Renewal of ~~Non-NASD~~ Non-FINRA Broker-Dealer Principal Registration
- (12)(13) ~~OBD-018~~ -- Applicant/Management Certification for Issuer Agents
- (13)(14) ~~OBD-019~~ -- Application for Renewal of ~~Non-NASD~~ Non-FINRA Broker-Dealer Agent Registration
- (14) ~~OBD-020~~ -- Non-Branch Sales Office Form

(b) **Obtaining forms.**

(1) Copies of the forms listed in (a)(1) and (2) of this Section, can be obtained from the SEC, 450 5th Street, N.W., Washington, D.C. 20549 or from any of the regional or branch offices of the SEC.

(2) Copies of the forms listed in (a)(1), (5) and (6), of this Section, can be obtained by contacting the NASD, 9509 Key West Avenue, Rockville, Maryland 20850, 301-590-6500.

(3) Copies of forms listed in (a)(3) through (7) of this Section, can be obtained from The North American Securities Administrators Association, Inc. at 10 G Street, Northeast, Suite 710, Washington, D.C. 20002.

(4) Copies of forms listed in (a)(8) through (14) of this Section, can be obtained from the Department.

(5) Many of the referenced forms are available from the Department's website at <http://www.securities.ok.gov/>. The referenced forms are available on the Department's website at <http://www.securities.ok.gov/>.

SUBCHAPTER 9. INDIVIDUAL PROCEEDING PRACTICES AND PROCEDURES

660:6-9-1. Forms for registration of subdivided land [AMENDED]

(a) **Forms.** The following is a list of forms required by the Department in connection with the registration of subdivided land under the Land Sales Act:

(1) LRF-625 -- Application for Registration of Subdivided Lands

(2) LRF-626A -- Public Offering Statement-Instruction Guide

(3) LRF-626B -- Summary Disclosure Statement Guide

~~(4) LRF-627 -- Registrants Semi-Annual Report~~

(b) **Obtaining forms.** ~~The forms listed above may be obtained from the Department.~~ The referenced forms are available on the Department's website at <http://www.securities.ok.gov/>.