

§133.33. Uniform Forms Accepted, Required, or Recommended.

- (a) Assuming the appropriate exhibits and supplements are filed, the State Securities Board will accept for filing the following “Uniform Forms” in lieu of the requisite Texas form, if any.
 - (1) U-1. Uniform Application to Register Securities.
 - (2) U-2. Uniform Consent to Service of Process.
 - (3) U-4. Uniform Application for Securities Industry Registration or Transfer.
 - (4) U-5. Uniform Termination Notice for Securities Industry Registration.
 - (5) ADV. Uniform Application for Investment Adviser Registration.
 - (6) BD. Uniform Application for Broker-Dealer Registration.
 - (7) USR-1. Investment Company Report of Sales.
 - (8) U-7. Small Company Offerings Registration Form may be used as a disclosure guide when making a small company offering of securities pursuant to an exemption under the Act or when making small public offerings pursuant to the Act, Section 7.A.
 - (9) NF. Uniform Investment Company Notice Filing.
 - (10) Model Accredited Investor Exemption Uniform Notice of Transaction.
 - (11) BR. Uniform Branch Office Registration Form.
- (b) The following “Uniform Forms” may be filed with this Agency as appropriate:
 - (1) ADV-W. Notice of Withdrawal from Registration as Investment Adviser.

- (2) BDW. Uniform Request for Withdrawal from Registration as a Broker-Dealer.
- (c) Section 109.13(k)(5) of this title (relating to Limited Offering Exemptions) and §114.4(b)(1) of this title (relating to Filings and Fees) require the filing of a Form D, “Notice of Sale of Securities Pursuant to Regulation D, Section 4(6), and/or Uniform Limited Offering Exemption.”