

Information Request

Name _____ Date _____ Mailed _____

Company _____ Initials _____ Return

Address _____ Phone _____

_____ FAX _____

Securities

- Washington Securities Act (RCW) Policy and Interpretive Statements
 WAC Booklet — Chapter No.(s) _____ Consent to Service of Process (U-2)

Registrations

- Coordination Application (U-1) Stock Escrow Agreement
 Qualification Application Impound Report Form
 Quasi-Government Bond Application Quarterly Report Form
 Mortgage Paper Securities Application Quarterly Report Form - Deb. Co
 Mortgage Sample Specific Offering Circular
Sample Offering Circular:
 General Limited Partnership

Exemptions

- Form D—Reg D Rules 504,505, or 506 Guidelines on “Offered to the Public”
 Notice of Exemption—Rules 504 & 147 Notice of Exemption—Non-Profit
 Report of Sales—Rules 504,505, 506, or CLOE Notice of Exemption—Co-op/Mutual Assns.

Small Business

- CLOE Form Disk Word 6 Paper Options for Small Business in the Securities Market
 SCOR Form Disk (WP5.) Word 6 Small Business Packet (So You Want to go Public)
Paper
 Issuer’s Manual Disk WP 5.1 Disk Word 6

Broker-Dealer

- Broker-Dealer Application Packet Investment Adviser Application Packet
 Form BD-W U-5 Agent Termination Form ADV-W
 U-4 Salesperson

Franchise

- Franchise Investment Protection Act & Rules Commodity Commodity Transactions Act (RCW)
 Franchise Registration Application Packet Commodity Broker-Dealer Registration Application
 Surety Bond (see CCH Business franchise Guide ¶5835)

Business Opportunity

- Business Opportunity Fraud Act (RCW) Complaint Form
 Business Opportunity Registration Application Enforcement-Inquiry
 Broker-Dealer

Other

- Public Records Request
NASAA Policy on _____
 REIT Church Bonds Options & Warrants
 Affiliated Transactions Promotional Shares
 Other