

MEMO# 3516

February 13, 1992

REVISED FORMS U-1, U-2 AND U-2A

February 13, 1992 TO: STATE SECURITIES MEMBERS NO. 6-92 UNIT INVESTMENT TRUST
MEMBERS NO. 11-92 RE: REVISED FORMS U-1, U-2 AND U-2A

At the 1991 NASAA Fall Conference, the NASAA membership adopted amendments to the Uniform Consent to Service of Process (Form U-2). The primary change to Form U-2 is that it now includes a listing of all of the states' designated officers for receipt of service of process and requests that the applicant mark each state in which it has filed this consent to service of process. The Uniform Form to Register Securities (Form U-1) and Uniform Resolution (Form-2A) are revised in format. Attached are copies of the revised uniform forms which should be used in applying for the registration of securities in the various states. The revised forms will be included in the next updates for the Institute's Blue Sky Guide and Investment Advisers Guide. Susan S. Burgess Legal Assistant Attachments

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