

MEMO# 3165

October 4, 1991

REVISED KANSAS FORM TO CLAIM BLUE CHIP EXEMPTION

October 4, 1991 TO: STATE SECURITIES MEMBERS NO. 44-91 UNIT INVESTMENT TRUST
MEMBERS NO. 48-91 RE: REVISED KANSAS FORM TO CLAIM BLUE CHIP EXEMPTION

As we previously informed you, Kansas will become the eleventh state to adopt the blue chip exemption from registration for qualified mutual funds and unit trusts on November 11, 1991. (See Memorandum to State Securities Members No. 43-91, Unit Investment Trust Members No. 44-91, dated September 26, 1991.) The Kansas Securities Commission has revised the Notice of Intention to Sell Securities, Form K-14, to require the CRD number for broker-dealers and issuer agents. In addition, the form instructs applicants to submit an additional copy of the form and a self-addressed stamped envelope for verification of the exemption. A copy of revised Form K-14 is attached. Patricia Louie Assistant General Counsel Attachment

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