

**MEMO# 2987**

August 5, 1991

# FORMS FOR REGISTRATION OF INVESTMENT COMPANY SECURITIES IN FLORIDA

August 5, 1991 TO: STATE SECURITIES MEMBERS NO. 32-91 UNIT INVESTMENT TRUST MEMBERS NO. 32-91 RE: FORMS FOR REGISTRATION OF INVESTMENT COMPANY SECURITIES IN FLORIDA \_\_\_\_\_ The Florida Division of Securities and Investor Protection has revised the forms which they require for registration of investment company securities in Florida. The revisions are non- substantive, however, the Division requests that the appropriate revised forms be used as of August 1, 1991. The first form, Form DOSIP-S-3-91, is the one customarily used for investment company registration by notification. The second Form DOSIP-S-4-91 is used if any restrictions under Section 517.082 (3) of the Florida statutes apply. (The restrictions would be for companies not registered under the Investment Company Act of 1940 or for securities not listed on a recognized exchange.) Copies of both forms are attached. Susan S. Burgess Legal Assistant Attachment

---

**Source URL:** <https://icinew-stage.ici.org/memo-2987>

Copyright © by the Investment Company Institute. All rights reserved. Information may be abridged and therefore incomplete. Communications from the Institute do not constitute, and should not be considered a substitute for, legal advice.