



**Rules of
Elected Officials
Division 30—Secretary of State
Chapter 50—General**

Title	Page
15 CSR 30-50.010 Definitions	3
15 CSR 30-50.020 General Instructions	4
15 CSR 30-50.030 Fees	4
15 CSR 30-50.040 Forms	6
15 CSR 30-50.050 Application for Registration as Broker-Dealer of Securities (Rescinded November 11, 1984)	7
15 CSR 30-50.060 Computation of Net Capital, Aggregate Indebtedness and Ratio of Aggregate Indebtedness to Net Capital (Rescinded November 11, 1984)	7
15 CSR 30-50.070 Broker-Dealer, Agent, Investment Adviser Statutory Bond (Rescinded February 12, 1987)	7
15 CSR 30-50.080 Request for Withdrawal from Registration as Broker-Dealer (Rescinded November 11, 1984)	7
15 CSR 30-50.090 Application for Registration as an Investment Adviser (Rescinded November 11, 1984)	7
15 CSR 30-50.100 Appointment of Agent by Broker-Dealer or Issuer (Rescinded November 11, 1984)	7
15 CSR 30-50.110 Application for Registration as Agent (Rescinded November 11, 1984)	7
15 CSR 30-50.120 Application for Renewal Registration as Agent (Rescinded July 30, 2002)	7
15 CSR 30-50.130 Registration of Securities by Notification (Rescinded July 30, 2002)	7
15 CSR 30-50.140 Application for Registration of Securities by Coordination (Rescinded November 11, 1984)	8



15 CSR 30-50.150	Application for Registration of Securities by Qualification (Rescinded July 30, 2002)	8
15 CSR 30-50.160	Investment Company Report of Sales (Rescinded July 30, 2002).....	8
15 CSR 30-50.170	In the Matter of the Condition of (Rescinded July 30, 2002).....	8
15 CSR 30-50.180	Individual Affidavit (Rescinded July 30, 2002)	8
15 CSR 30-50.190	Appointment of the Commissioner of Securities to Acknowledge and Receive Service of Process (Rescinded November 11, 1984).....	8
15 CSR 30-50.200	Supplemental Sheet to Agent’s Application (Rescinded November 11, 1984).....	8
15 CSR 30-50.210	Statement of Claim for the Exemption of Securities of a Cooperative Association (Rescinded July 30, 2002).....	8
15 CSR 30-50.220	Application for Exception From Definition of Agent for Sellers of Agricultural Cooperative Securities (Rescinded July 30, 2002).....	8



Title 15—ELECTED OFFICIALS
Division 30—Secretary of State
Chapter 50—General

15 CSR 30-50.010 Definitions

PURPOSE: This rule defines certain terms used in the administration of the Missouri Securities Act of 2003 and in the corresponding rules, forms, and orders made.

(1) When the terms listed in this rule are used in the Missouri Securities Act of 2003 (the Act), these rules, the forms, and the orders of the commissioner, the following meanings shall apply (unless the context otherwise requires), together with those which may later appear to the extent that they are not inconsistent with definitions provided in Chapter 409, RSMo:

(A) Act means Chapter 409, RSMo, otherwise known as the Missouri Securities Act of 2003;

(B) Affiliate means a person who, directly or indirectly, through one (1) or more intermediaries, controls, or is controlled by, or is under common control with, another person;

(C) Applicant means the person executing an application;

(D) Application means the form prescribed or approved by the commissioner for filing in connection with the—

1. Registration of securities, including any amendment to the form and any information, document, report, or memorandum filed as a part of the form or incorporated in the form by reference; it includes the registration statement; and

2. Registration as a broker-dealer, agent, investment adviser, or representative of an investment adviser, including any amendment to the form and any information, document, report, or memorandum filed as a part of the form or incorporated in the form by reference;

(E) Associate means a corporation or organization (other than an issuer or a majority-owned subsidiary of an issuer) of which a person is an officer or partner, or is, directly or indirectly, the beneficial owner of ten percent (10%) or more of any class of equity securities; a trust or other estate in which a person has a substantial beneficial interest or as to which s/he serves as trustee or in a similar capacity; and a relative or spouse of a person, or any relative of his/her spouse, who has the same home as the person or who is a director or officer of an issuer or any of its parents or subsidiaries;

(F) Certified means, when used in connection with financial statements, certified by an independent certified public accountant in

accordance with generally accepted accounting principles;

(G) Chief compliance officer means an individual, who is both a supervised person and an investment adviser representative of the firm, responsible for administering the supervisory or compliance policies and procedures an investment adviser adopts under “Supervision Guidelines for Investment Advisers” in 15 CSR 30-51.173;

(H) CRD System means the NASAA/FINRA Central Registration Depository;

(I) Control and controlling person mean possession of the power, authority, or means to engage in the management or policy-making functions of a person, directly or indirectly, through ownership of securities, by contract or otherwise. An officer, director, partner, or trustee or individual occupying similar status or performing similar functions or a person owning ten percent (10%) or more of the outstanding shares of any class or classes of securities of another shall be presumed a controlling person;

(J) Division or Securities Division means the staff of the Securities Division, Office of Secretary of State of Missouri;

(K) FINRA means the Financial Industry Regulatory Authority;

(L) IARD System means the NASAA/SEC Investment Adviser Registration Depository;

(M) Isolated, for the purpose of section 409.2-202(1) of the Act, means standing alone, disconnected from any other transactions;

(N) NASAA means the North American Securities Administrators Association, Inc.;

(O) Parent means an affiliate controlling another person;

(P) Predecessor means a person, a major portion of whose business, assets, or control has been acquired by another;

(Q) Promoter means a person who—
 1. Acting alone or in conjunction with one (1) or more other persons, directly or indirectly, takes the initiative in founding and organizing or reorganizing the business or enterprise of an issuer; and

2. In connection with the founding and organizing or reorganizing of the business or enterprise of an issuer, directly or indirectly, receives in consideration of services or property, or both services and property, a substantial amount of any class of securities of the issuer or a substantial amount of the proceeds from the sale of any class of securities;

(R) Registrant means an applicant for whom, or an issuer with respect to whose securities, a registration has become effective;

(S) SEC means the United States Securities

and Exchange Commission;

(T) Subsidiary means an affiliate controlled by another person;

(U) Supervised person means any partner, officer, director (or other person occupying a similar status or performing similar functions), investment adviser representative, employee of an investment adviser, or other person who provides investment advice on behalf of the investment adviser and is subject to the supervision and control of the investment adviser;

(V) Underwriter means a person who has purchased from an issuer or an affiliate of an issuer with a view to, or offers or sells for an issuer or an affiliate of an issuer in connection with, the distribution of any security, or participates or has a participation in the direct or indirect underwriting of any such undertaking. Not included is a person whose interest is limited to a commission from an underwriter or dealer not in excess of the usual and customary distributors’ or sellers’ commission;

(W) Viatical settlement, for the purpose of section 409.1-102(28)(E), RSMo, includes, but is not limited to, a viatical settlement contract which means a written agreement establishing the terms under which compensation or anything of value will be paid, which compensation or value is less than the expected death benefit of the insurance policy or certificate, in return for the viator’s assignment, transfer, sale, devise, or bequest of the death benefit or ownership of any portion of the insurance policy or certificate of insurance. A viatical settlement contract also includes:

1. A contract for a loan or other financing transaction with a viator secured primarily by an individual or group life insurance policy, other than a loan by a life insurance company pursuant to the terms of the life insurance contract, or a loan secured by the cash value of a policy; and

2. An agreement with a viator to transfer ownership or change the beneficiary designation at a later date regardless of the date that compensation is paid to the viator; and

(X) For the purpose of section 409.2-201(3) of the Act, the words banking institution or other depository institution do not include any loan and investment company formed under the provisions of Chapter 368, RSMo.

AUTHORITY: section 409.6-605, RSMo Supp. 2013. Original rule filed June 25, 1968, effective Aug. 1, 1968. Amended: Filed May 21, 1969, effective Aug. 1, 1969. Amended: Filed July 21, 1972, effective Aug. 1, 1972. Amended: Filed Nov. 15, 1974, effective Nov.*



25, 1974. Amended: Filed Dec. 19, 1975, effective Dec. 31, 1975. Emergency amendment filed Sept. 19, 1977, effective Sept. 29, 1977, expired Jan. 27, 1978. Amended: Filed Oct. 3, 1977, effective Jan. 13, 1978. Emergency amendment filed Aug. 1, 1980, effective Aug. 13, 1980, expired Dec. 11, 1980. Amended: Filed Aug. 13, 1980, effective Dec. 11, 1980. Emergency amendment filed Aug. 4, 1995, effective Aug. 14, 1995, expired Dec. 11, 1995. Amended: Filed Aug. 4, 1995, effective Jan. 30, 1996. Amended: Filed Dec. 17, 2001, effective July 30, 2002. Emergency amendment filed Aug. 25, 2003, effective Sept. 12, 2003, expired March 9, 2004. Amended: Filed Aug. 25, 2003, effective Feb. 29, 2004. Amended: Filed May 21, 2009, effective Nov. 30, 2009. Amended: Filed Sept. 9, 2010, effective March 30, 2011. Amended: Filed Dec. 3, 2013, effective July 30, 2014.

*Original authority: 409.6-605, RSMo 2003.

15 CSR 30-50.020 General Instructions

PURPOSE: This rule prescribes general matters within the commissioner's jurisdiction.

(1) Office Hours. The Securities Division shall be open for transaction of business between the hours of 7:30 a.m. and 5:00 p.m. on Monday through Friday, public holidays excepted.

(2) Filing Documents with the Securities Division.

(A) A document is filed when it is received in the office of the commissioner, or filed through the Central Registration Depository (CRD) System, the Investment Adviser Registration Depository (IARD) System, or other electronic system approved by the commissioner. All applications for registration and filings shall be dated and bear a signature.

(B) All written communications, including applications and inquiries not submitted through the CRD System or the IARD System, shall be delivered by mail or carrier to Secretary of State, Securities Division, 600 W. Main Street, PO Box 1276, Jefferson City, MO 65102; or by facsimile to Secretary of State, Securities Division, (573) 526-3124; or by electronic mail to an address approved by the commissioner (section 409.6-606(a), RSMo).

(C) Only the original executed copy of each form is required. If a document pertains to more than one (1) subject or application, a separate form, including cover or transmittal letter, or two (2) or more copies of the letter commensurate with the number of items sub-

mitted, should be filed.

(D) All forms and documents shall be printed, photocopied, typewritten, in electronic format, or prepared by a similar process which, in the opinion of the commissioner, produces copies suitable for a permanent record. All forms and documents shall be clear, easily readable and suitable for repeated photocopying. Exhibits may be attached and shall be properly marked and identified.

(E) All applications and other documents received and filed in the division become a part of its permanent records and may not be returned to the applicant or correspondent.

(3) Practice of Law. The unauthorized practice of law or the appearance of unauthorized practice shall be avoided in connection with any filing under the Act.

(4) Delegation of Authority. The commissioner may delegate to the staff of the Securities Division the authority to act for the commissioner, or to perform necessary functions and duties to carry out the purposes of the Act, rules promulgated thereunder and the orders and policies of the commissioner (section 1.060, RSMo).

(5) Interpretive Opinions. Interpretive opinions (section 409.6-605(d), RSMo) including no action letters are rendered only in writing. Informal discussions with the commissioner or members of the staff of the Securities Division shall not be taken to signify any determination or approval concerning the matters discussed.

(6) Exceptions. When authorized by statute, the commissioner may authorize or make exceptions to these rules as are necessary to carry out the provisions of the Act. Nothing in these rules shall inhibit the exercise by the commissioner of authority prescribed in or under the Act.

(7) Open Records Policy. The commissioner shall issue an open records policy in compliance with Chapter 610, RSMo, and consistent with section 409.6-607, RSMo.

*AUTHORITY: sections 409.6-605, 409.6-606 and 409.6-607, RSMo Supp. 2003. * Original rule filed June 25, 1968, effective Aug. 1, 1968. Amended: Filed May 21, 1969, effective Aug. 1, 1969. Amended: Filed July 21, 1972, effective Aug. 1, 1972. Amended: Filed Nov. 15, 1974, effective Nov. 25, 1974. Emergency amendment filed Aug. 1, 1980, effective Aug. 13, 1980, expired Dec. 11, 1980. Amended: Filed Aug. 13, 1980, effective Dec. 11, 1980. Amended: Filed Aug. 1,*

1984, effective Nov. 11, 1984. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Amended: Filed Dec. 20, 1988, effective Sept. 28, 1989. Amended: Filed June 8, 1992, effective Feb. 26, 1993. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded and readopted: Filed Dec. 17, 2001, effective July 30, 2002. Emergency amendment filed Aug. 19, 2003, effective Sept. 12, 2003, expired March 9, 2004. Amended: Filed Aug. 22, 2003, effective Feb. 29, 2004.

*Original authority: 409.6-605, RSMo 2003; 409.6-606, RSMo 2003; and 409.6-607, RSMo 2003.

15 CSR 30-50.030 Fees

PURPOSE: This rule prescribes policies and procedures for charging registration and other fees.

(1) General Provisions.

(A) All fees shall accompany the application or other filing to which they pertain.

(B) Fees shall be remitted by check, draft, or money order (cash is not acceptable) payable to the Missouri Secretary of State, or, if the application is submitted through the Central Registration Depository (CRD) System or Investment Adviser Registration Depository (IARD) System, fees shall be remitted by check or wire transfer to the financial institution designated by the Financial Industry Regulatory Authority (FINRA).

(C) Fees paid with applications filed through the CRD System, the IARD System, or other electronic system approved by the commissioner may be sent by wire transfer or mail to FINRA.

(D) Fees paid in connection with applications filed through other electronic systems that are approved by the commissioner may be sent by wire transfer to the financial institution designated by the Office of the Missouri Secretary of State.

(2) Registration of Securities (section 409.3-305(b), RSMo). The fees for registration of securities are as follows:

(A) The minimum filing fee is one hundred dollars (\$100). This permits registration of up to one hundred thousand dollars (\$100,000) of securities in Missouri.

(B) To register more than one hundred thousand dollars (\$100,000) of securities in Missouri, the registration fee is one-twentieth of one percent (1/20 of 1%) of the amount above one hundred thousand dollars (\$100,000). The maximum total fee (filing



plus registration) is one thousand dollars (\$1,000).

(C) The registration fee in the case of warrants or rights shall be based on the aggregate amount of the security called for by the warrants or rights, and the amount of the warrants or rights if they are not distributed without consideration.

(D) The registration fee relating to convertible securities in which no consideration is given for the second security, except the surrender of the first, shall be based solely on the amount of the convertible security.

(E) When separate securities are sold as a unit, the unit and the securities that comprise the unit are considered one (1) registration. The registration fee is based on the aggregate amount of securities that comprise the unit. When separate securities are sold separately, a separate application, filing fee, and registration fee is required for each security.

(F) Renewal Filings. The annual renewal fee for the registration of securities is one hundred dollars (\$100).

(3) Federal Covered Securities. The filing fees for federal covered securities are as follows:

(A) Face-Amount Certificate Companies or Open-End Management Companies. The fees for securities issued by these companies, as classified under the Investment Company Act of 1940 and that are offered or sold in this state, shall consist of the following:

1. Initial filing fee. The initial filing fee is one hundred dollars (\$100). The initial filing fee must be paid prior to the initial offer of the securities in this state. A separate initial filing fee is required for each portfolio of securities.

2. Filing fee. A filing fee of one-twentieth of one percent (1/20 of 1%) of the amount of securities sold in this state during the issuer's previous fiscal year must be paid within sixty (60) days of the issuer's fiscal year end. The maximum filing fee for the securities sold in this state during a fiscal year is three thousand dollars (\$3,000). This maximum filing fee includes the initial filing fee for the first fiscal year. In addition, the renewal fee described in subsection (3)(C) below can be applied as the filing fee for the first two hundred thousand dollars (\$200,000) of securities sold in this state during a fiscal year. A separate filing fee is required for each portfolio of securities.

(B) Closed End Management Companies. The fees for securities issued by these companies, as classified under the Investment Company Act of 1940 and that are offered or sold in this state, shall consist of the following:

1. Initial filing fee. The initial filing fee is one hundred dollars (\$100). The initial filing fee of one hundred dollars (\$100) includes the filing fee for the first one hundred thousand dollars (\$100,000) of securities to be sold in this state; and

2. Filing fee. The filing fee for any additional amount of securities sold above the first one hundred thousand dollars (\$100,000) is one-twentieth of one percent (1/20 of 1%) of the amount of the additional securities sold in this state during the issuer's previous fiscal year and must be paid within sixty (60) days of the issuer's fiscal year end. The maximum filing fee is one thousand dollars (\$1,000) and includes the initial filing fee.

(C) Unit Investment Trusts. The fees for securities issued by these companies, as classified under the Investment Company Act of 1940 and that are offered or sold in this state, shall consist of the following:

1. Initial filing fee. The initial filing fee is one hundred dollars (\$100). The initial filing fee of one hundred dollars (\$100) includes the filing fee for the first one hundred thousand dollars (\$100,000) of securities to be sold in this state; and

2. Filing fee. The filing fee for any additional amount of securities sold above the first one hundred thousand dollars (\$100,000) is one-twentieth of one percent (1/20 of 1%) of the amount of the additional securities sold in this state after the anniversary of the effectiveness with the Securities and Exchange Commission or the anniversary of the filings' effectiveness in this state, and must be paid within sixty (60) days of that date. The maximum filing fee is one thousand dollars (\$1,000) and includes the initial filing fee.

(D) Renewal Fee for Investment Companies. The annual renewal fee for investment companies is one hundred dollars (\$100) and must be paid on or within thirty (30) days before the anniversary of the effective date or at the time of the fiscal year end.

(E) Regulation D, Rule 506. The filing fee for each offering under Regulation D, Rule 506, is one hundred dollars (\$100). There shall be a payment of fifty dollars (\$50) for any late filing.

(4) Registration of Broker-Dealers and Investment Advisers (section 409.4-410, RSMo). The filing fees for registration of broker-dealers and investment advisers are as follows:

(A) Initial Registration—two hundred dollars (\$200); and

(B) Renewal Registration—one hundred dollars (\$100).

(5) Registration of Agents and Investment Adviser Representatives. The filing fees for registration of broker-dealer agents and investment adviser representatives are as follows:

(A) Initial Registration—fifty dollars (\$50);

(B) Renewal Registration—fifty dollars (\$50); and

(C) Change of Registration—fifty dollars (\$50).

(6) Federal Covered Adviser. The notice filing fees of federal covered advisers are as follows:

(A) Initial Notice Filing—two hundred dollars (\$200); and

(B) Renewal Notice Filing—one hundred dollars (\$100).

(7) Document Requests. The fees for copies of documents and records in the division, or reports relating to these documents or records, are as follows: ten cents (10¢) per page, plus five dollars (\$5) for certification and two dollars (\$2) per page for telephone and electronic transmittals (sections 28.160 and 409.6-606(c), RSMo).

(8) Interpretive Opinions. Interpretive opinions, including no action letters and opinions that involve a claim of exception from a definition under section 409.1-102, RSMo, or otherwise from the scope of the Act, may be provided to interested persons for a filing fee of one hundred dollars (\$100) (section 409.6-605(d), RSMo).

(9) Notice Filing for Exemptions. The filing fee for a notice filing for an exemption under sections 409.2-201, 409.2-202, or 409.2-203, RSMo, is one hundred dollars (\$100).

(10) Refunds.

(A) No refund of filing fees shall be permitted in the instances of applications for registration of securities and for registration of broker-dealers, agents, investment advisers, and representatives of investment advisers, even though the applications are denied or withdrawn (section 409.4-410, RSMo);

(B) Registration fees, but not filing fees, will be refunded upon withdrawal of an application. Registration fees will not be refunded if an application is denied registration pursuant to section 409.3-306, RSMo; and

(C) No refund of registration fees shall be permitted, if registration of securities is effected.

(11) Exemption for Active Duty Military Personnel. Agents and investment adviser representatives who either have been called to



active military duty or voluntarily joined the Armed Forces of the United States shall be, after proper notification, exempt from the payment of renewal registration fees for the period of active service.

(A) Agents and investment adviser representatives wishing to utilize the exemption shall notify the division in writing, and provide a copy of the individual's orders (official call-up notification) or a copy of the letter of leave request for individuals that voluntarily join. Either document should include the individual's start date, military branch, and location of service duty.

(B) Within ninety (90) days of completion of military service, the agent or investment adviser representative shall provide a copy of the individual's discharge papers that indicate the start and end dates of service. Upon completion of service, the individual's renewal registration fee shall be paid under the provisions of section 409.4-406(2)(d), RSMo.

(C) Any renewal fee paid during the time the individual is on active military duty shall be refunded within ninety (90) days.

AUTHORITY: sections 409.3-302, 409.3-305(b), 409.4-410, 409.6-605, and 409.6-606(c), RSMo 2016. * Original rule filed June 25, 1968, effective Aug. 1, 1968. Amended: Filed May 21, 1969, effective Aug. 1, 1969. Amended: Filed July 21, 1972, effective Aug. 1, 1972. Amended: Filed Nov. 15, 1974, effective Nov. 25, 1974. Amended: Filed Dec. 19, 1975, effective Dec. 31, 1975. Emergency amendment filed Aug. 11, 1978, effective Aug. 23, 1978, expired Dec. 21, 1978. Amended: Filed Aug. 11, 1978, effective Feb. 11, 1979. Emergency amendment filed Aug. 1, 1980, effective Aug. 13, 1980, expired Dec. 11, 1980. Amended: Filed Aug. 13, 1980, effective Dec. 11, 1980. Amended: Filed Oct. 16, 1986, effective Feb. 12, 1987. Amended: Filed July 20, 1988, effective Nov. 11, 1988. Amended: Filed Jan. 3, 1990, effective March 11, 1990. Amended: Filed Dec. 24, 1991, effective May 14, 1992. Amended: Filed June 8, 1992, effective Feb. 26, 1993. Emergency amendment filed Aug. 4, 1995, effective Aug. 14, 1995, expired Dec. 11, 1995. Amended: Filed Aug. 4, 1995, effective Jan. 30, 1996. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded and readopted: Filed Dec. 17, 2001, effective July 30, 2002. Amended: Filed Nov. 26, 2002, effective May 30, 2003. Emergency amendment filed Aug. 25, 2003, effective Sept. 12, 2003, expired March 9, 2004. Amended: Filed Aug. 25, 2003, effective Feb. 29, 2004. Amended: Filed July 11, 2005, effective Jan. 30, 2006. Amended: Filed May 21, 2009, effective Nov. 30, 2009. Amended: Filed July 19, 2019, effective Jan. 30, 2020.

*Original authority: 409.3-302, RSMo 2003; 409.3-305, RSMo 2003; 409.4-410, RSMo 2003; 409.6-605, RSMo 2003; and 409.6-606, RSMo 2003.

15 CSR 30-50.040 Forms

PURPOSE: This rule prescribes the forms adopted and approved for filing with the commissioner.

PUBLISHER'S NOTE: The secretary of state has determined that the publication of the entire text of the material which is incorporated by reference as a portion of this rule would be unduly cumbersome or expensive. This material as incorporated by reference in this rule shall be maintained by the agency at its headquarters and shall be made available to the public for inspection and copying at no more than the actual cost of reproduction. This note applies only to the reference material. The entire text of the rule is printed here.

(1) The following forms have been adopted and approved for filing with the Securities Division:

(A) Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives—

1. Form BD—Uniform Application for Broker-Dealer Registration approved May 2001, OMB Approval Number 3235-0012, or any form which substantially comports with the specified form;

2. Form BDW—Uniform Request for Broker-Dealer Withdrawal approved November 2000, OMB Approval Number 3235-0018, or any form which substantially comports with the specified form;

3. Form SBD-1—Missouri Broker-Dealer Affidavit revised January 2005, or any form which substantially comports with the specified form;

4. Form X-17A-5—Financial and Operational Combined Uniform Single Report approved July 2002, OMB Approval Number 3235-0123, or any form which substantially comports with the specified form;

5. Form U-4—Uniform Application for Securities Industry Registration or Transfer adopted by the North American Securities Administrators Association, Inc. (NASAA) on April 16, 2003, or any form which substantially comports with the specified form;

6. Form U-5—Uniform Termination Notice for Securities Industry Registration adopted by the NASAA on April 16, 2003, or any form which substantially comports with the specified form;

7. Form SA-1—Missouri Application for Renewal Registration as Agent revised

August 2003, or any form which substantially comports with the specified form;

8. Form ADV—Uniform Application for Investment Adviser Registration approved July 2003, OMB Approval Number 3235-0049, or any form which substantially comports with the specified form;

9. Form ADV-W—Uniform Notice of Withdrawal from Registration as Investment Adviser approved January 2001, OMB Approval Number 3235-0313, or any form which substantially comports with the specified form;

10. Form SADV-1—State Covered Investment Adviser Affidavit revised March 2002, or any form which substantially comports with the specified form;

11. Form SADV-SH—State Application for Hardship Exemption from IARD revised October 2001, or any form which substantially comports with the specified form; and

12. Form U-2—Uniform Consent to Service of Process adopted by NASAA and revised November 1997, or any form which substantially comports with the specified form.

(B) Registration of Securities—

1. Form U-1—Uniform Application to Register Securities adopted by NASAA and revised February 1997, or any form which substantially comports with the specified form;

2. Form SR-1—Form of Prospectus for Registration of Securities by Qualification revised August 2003;

3. Form U-2—Uniform Consent to Service of Process adopted by NASAA and revised November 1997, or any form which substantially comports with the specified form;

4. Form U-2A—Uniform Form of Corporate Resolution adopted by NASAA and revised April 1998, or any form which substantially comports with the specified form;

5. Form SR-2—Missouri Annual Report for Renewal of Registration of Securities revised December 2001;

6. Form SR-3—Midwest Regional Review Application revised July 2003, or any form which substantially comports with the specified form;

7. Form SR-4—Missouri Impoundment of Funds Agreement revised September 2002, or any form which substantially comports with the specified form;

8. Form SR-5—Missouri Application for Registration of Single Family Mortgage Revenue Bonds revised June 2002, or any form which substantially comports with the specified form; and

9. Form U-7—Small Company Offering Registration (SCOR) Form adopted by



NASAA and revised September 1999, or any form which substantially comports with the specified form.

(C) Exemptions from Registration, Exceptions from Definition, Federal Covered Securities—

1. Form SE-1—Statement of Claim for the Exemption of Securities of a New Generation Processing Entity revised August 2003;

2. Form SE-2—Statement of Claim for the Exemption of a Securities of a Missouri Agricultural Cooperative revised December 2004;

3. Form NF—Uniform Investment Company Notice Filing adopted by NASAA April 1997, or any form which substantially comports with the specified form;

4. Form D—Notice of Sale of Securities Pursuant to Regulation D, Section 4(6), and/or Uniform Limited Offering Exemption approved in June 2002, OMB Approval Number 3235-0076, or any form which substantially comports with the specified form; and

5. Form AI—Notice of Sale of Securities Pursuant to the Missouri Accredited Investor Exemption, or any form which substantially comports with the specified form.

(D) Commodities—

1. Form C-4—Missouri Commodity Broker-Dealer, Sales Representative, Statutory Bond, revised June 2001, or any form which substantially comports with the specified form; and

2. Form C-16—Missouri Application for Renewal Registration of Sales Representative revised June 2001, or any form which substantially comports with the specified form.

(2) The Securities Division on request will supply the forms listed in 15 CSR 30-50.040(1) in printed format, which are incorporated by reference herein, as published by the Securities Division, 600 W. Main Street, PO Box 1276, Jefferson City, MO 65102. This rule does not incorporate any subsequent amendments or additions. Accurate reproduction of the forms may be utilized for filing in lieu of the printed forms. All uniform forms are electronically available at <http://www.sos.mo.gov/securities>.

AUTHORITY: section 409.6-605, RSMo Supp. 2013. Original rule filed June 25, 1968, effective Aug. 1, 1968. Amended: Filed May 21, 1969, effective Aug. 1, 1969. Amended: Filed July 21, 1972, effective Aug. 1, 1972. Amended: Filed June 3, 1974, effective June 17, 1974. Amended: Filed Nov. 15, 1974, effective Nov. 25, 1974. Amended: Filed Dec. 19, 1975, effective Dec. 31, 1975. Emergency*

amendment filed Aug. 11, 1978, effective Aug. 23, 1978, expired Dec. 21, 1978. Amended: Filed Aug. 11, 1978, effective Feb. 11, 1979. Emergency amendment filed Aug. 1, 1980, effective Aug. 13, 1980, expired Dec. 11, 1980. Amended: Filed Aug. 13, 1980, effective Dec. 11, 1980. Amended: Filed Oct. 16, 1986, effective Feb. 12, 1987. Rescinded and readopted: Filed Sept. 29, 1988, effective Nov. 11, 1988. Rescinded and readopted: Filed March 27, 1989, effective June 12, 1989. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded and readopted: Filed Dec. 17, 2001, effective July 30, 2002. Emergency amendment filed Aug. 29, 2003, effective Sept. 12, 2003, expired March 9, 2004. Amended: Filed Aug. 29, 2003, effective Feb. 29, 2004. Amended: Filed May 26, 2004, effective Nov. 30, 2004. Amended: Filed Dec. 10, 2004, effective June 30, 2005. Amended: Filed March 3, 2006, effective Sept. 30, 2006. Amended: Filed Dec. 3, 2013, effective July 30, 2014.

**Original authority: 409.6-605, RSMo 2003.*

15 CSR 30-50.050 Application for Registration as Broker-Dealer of Securities
(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.060 Computation of Net Capital, Aggregate Indebtedness and Ratio of Aggregate Indebtedness to Net Capital
(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.070 Broker-Dealer, Agent, Investment Adviser Statutory Bond
(Rescinded February 12, 1987)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Oct. 16, 1986, effective Feb. 12, 1987.

15 CSR 30-50.080 Request for Withdrawal from Registration as Broker-Dealer
(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective

Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.090 Application for Registration as an Investment Adviser
(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.100 Appointment of Agent by Broker-Dealer or Issuer
(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.110 Application for Registration as Agent
(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.120 Application for Renewal Registration as Agent
(Rescinded July 30, 2002)

AUTHORITY: section 409.413(a), RSMo 1994. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.

15 CSR 30-50.130 Registration of Securities by Notification
(Rescinded July 30, 2002)

AUTHORITY: section 409.413(a), RSMo 1994. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.

**15 CSR 30-50.140 Application for Registration of Securities by Coordination**

(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.150 Application for Registration of Securities by Qualification

(Rescinded July 30, 2002)

AUTHORITY: section 409.413(a), RSMo 1994. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.

15 CSR 30-50.160 Investment Company Report of Sales

(Rescinded July 30, 2002)

AUTHORITY: section 409.413(a), RSMo 1994. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984. Emergency rule filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Readopted: Filed Jan. 3, 1985, effective May 11, 1985. Amended: Filed April 19, 1993, effective Dec. 9, 1993. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.

15 CSR 30-50.170 In the Matter of the Condition of

(Rescinded July 30, 2002)

AUTHORITY: section 409.413(a), RSMo 1994. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.

15 CSR 30-50.180 Individual Affidavit

(Rescinded July 30, 2002)

AUTHORITY: section 409.413(a), RSMo 1994. Original rule filed Dec. 5, 1975, effective

Dec. 15, 1975. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Amended: Filed Feb. 2, 1996, effective July 30, 1996. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.

15 CSR 30-50.190 Appointment of the Commissioner of Securities to Acknowledge and Receive Service of Process

(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.200 Supplemental Sheet to Agent's Application

(Rescinded November 11, 1984)

AUTHORITY: section 409.413(a), RSMo 1978. Original rule filed Dec. 5, 1975, effective Dec. 15, 1975. Rescinded: Filed Aug. 1, 1984, effective Nov. 11, 1984.

15 CSR 30-50.210 Statement of Claim for the Exemption of Securities of a Cooperative Association

(Rescinded July 30, 2002)

AUTHORITY: section 409.413, RSMo 1986. Emergency rule filed Aug. 11, 1978, effective Aug. 23, 1978, expired Dec. 21, 1978. Original rule filed Aug. 11, 1978, effective Feb. 11, 1979. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.

15 CSR 30-50.220 Application for Exception From Definition of Agent for Sellers of Agricultural Cooperative Securities

(Rescinded July 30, 2002)

AUTHORITY: section 409.413, RSMo 1986. Emergency rule filed Aug. 11, 1978, effective Aug. 23, 1978, expired Dec. 21, 1978. Original rule filed Aug. 11, 1978, effective Feb. 11, 1979. Emergency amendment filed Jan. 3, 1985, effective Jan. 13, 1985, expired May 13, 1985. Amended: Filed Jan. 3, 1985, effective May 11, 1985. Rescinded: Filed Dec. 17, 2001, effective July 30, 2002.