

SUMMARY OF MATERIAL INCORPORATED BY REFERENCE IN 808 KAR 10:501

808 KAR 10:501

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The following material is incorporated by reference in 808 KAR 10:501:

- (a) "Form CF 1, Kentucky Intrastate Crowdfunding Exemption Issuer Notice Filing Form", September, 2023. This form is used by an issuer to make a notice filing with the Department;
- (b) "Form CF 2, Final Report of Sales Form", September, 2023. This form is used to list the number securities sold and the number of purchasers;
- (c) "Form CF 3, Internet Web Site Operator Registration Form", September, 2023. This form is used to provide registration information for the internet Web site operator;
- (d) "Form CF 4, Internet Web Site Operator Surety Bond Form", September, 2023. This form is used to provide a sworn surety bond;
- (e) "Form CF 5, Broker-Dealer Internet Web Site Operator Notice Filing Form", September, 2023. This form is used by a broker-dealer to submit a notice filing for Web site operation;
- (f) "Form U-2, Uniform Consent to Service of Process, September, 2023. This form is used to designate an entity for jurisdiction service of process on behalf of an issuer; and
- (g) "Form U-CF, Uniform Notice of Federal Crowdfunding Offering", September, 2023. This form provides uniform information for a federal crowdfunding offering and is filed with each state as necessary.