

# Uniform Investment Company Notice Filing

**Please Read Instructions Prior to Filing out Form**

State File No. \_\_\_\_\_

Notice to the State/Commonwealth of \_\_\_\_\_

1. Name of Issuer: \_\_\_\_\_  
\_\_\_\_\_

2. Address: \_\_\_\_\_  
\_\_\_\_\_

3. Type of Filing: (Check all that apply)

- Open-end Mutual Fund     Unit Investment Trust     Closed-end Mutual Fund  
 Initial Filing     Renewal Filing     Amendments     Exemption Filing  
 Termination     Withdrawal     Sales Report     Increase Dollar Amount  
 Other (specify) \_\_\_\_\_

For name changes, provide former name: \_\_\_\_\_  
\_\_\_\_\_

For amendments, specify nature of the change(s): \_\_\_\_\_

4. Description of Securities: \_\_\_\_\_

Name of Fund: \_\_\_\_\_  
\_\_\_\_\_

Portfolio(s): \_\_\_\_\_  
\_\_\_\_\_

Class(es): \_\_\_\_\_  
\_\_\_\_\_

Fiscal Year End of the issuer (if applicable): \_\_\_\_\_

Are all of the securities described on this form offered in one prospectus?  Yes  No

5. Contact Person: \_\_\_\_\_

Name: \_\_\_\_\_ Firm: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ FAX: \_\_\_\_\_ E-Mail: \_\_\_\_\_

6. CIK# (EDGAR): \_\_\_\_\_ Federal ID# (if applicable): \_\_\_\_\_

Broker-Dealer: \_\_\_\_\_ SEC Registration No. (If applicable): \_\_\_\_\_

Broker-Dealer's CRD #: \_\_\_\_\_ State of Incorporation/Charter: \_\_\_\_\_

7.  Notice Period: \_\_\_\_\_ Beginning Date: \_\_\_\_\_ Ending Date: \_\_\_\_\_

The issuer elects to have its notice filing made effective upon filing.

The issuer to have its notice filing period begin with SEC effectiveness and thereby agrees to provide the above state prompt notice of such effectiveness.

8. Notice Fee: \$ \_\_\_\_\_  No Filing Fee Required  
Sales Report Fee (if applicable): \$ \_\_\_\_\_  
Other Fee: \$ \_\_\_\_\_ Explain: \_\_\_\_\_

9. To determine the basis used for calculating the filing fee, provide the following:  
 Indefinite Amount     Definite Amount    \$ \_\_\_\_\_  
 Exemption Filing     Net Assets:    \$ \_\_\_\_\_

10. For filing to increase the dollar amount of securities reported during the notice period, provide the following:  
1. Previous Amount of Securities: \_\_\_\_\_  
2. Amount of Increase: \_\_\_\_\_  
3. Cumulative Amount of Securities: \_\_\_\_\_

11. **Sales Report [To the extent not applicable, place N/A in the blank(s)]**  
Period Covered:                      Beginning date: \_\_\_\_\_                      Ending: \_\_\_\_\_  
Balance at beginning of period:    \$ \_\_\_\_\_  
Increases during period:            \$ \_\_\_\_\_  
Amount available for sale:         \$ \_\_\_\_\_  
Sales during the period:             \$ \_\_\_\_\_  
Unsold balance at end of period:   \$ \_\_\_\_\_

12. **Uniform Consent to Service of Process (select one)**  
1.        Was previously filed with state with respect to the issuer of the securities by this notice and is incorporated by reference  
2.        Is attached  
3.        Not Applicable (explain): \_\_\_\_\_

13. **Signatures**

The undersigned under penalties of perjury certifies that s/he has executed this Uniform Investment Company notice of behalf of, and with the authority of the issuer. The undersigned and the issuer represent that the information and statements contained in the notice filed, are current true and complete to the best of his or her knowledge, information and belief and that any documents submitted with the notice are true copies of the originals, and that the securities covered by this Notice are Covered Securities as defined by Section 18(b)(2) of the Securities Act of 1933.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
*Month*    *Year*

For: \_\_\_\_\_  
*Name of Issuer*

By: \_\_\_\_\_  
*Signature of Authorized Agent of Issuer*

\_\_\_\_\_  
*Print Name*

\_\_\_\_\_  
*Title of Agent for Issuer*

**The filing of this notice constitutes a binding agreement by the above-named issuer and under the laws of the jurisdiction in which this Form is filed, that upon receipt of request from such jurisdiction, the issuer will promptly provide a copy of its current prospectus, and/or statement of additional information, and/or any other document, if any, as filed with the Securities and Exchange Commission.**

## **Instructions to Form NF**

Form NF should be used for investment company initial filings, renewals, amendments, and sales reports. This form should be used for all filing options, including definite and indefinite filings.

- ITEM 1.**      Name of Issuer: State the name of the investment company for which the notice filing is being made. Do not use the name of the broker-dealer or distributor.
- ITEM 3.**      Amendment Filings: Provide the applicable information. However, it may not be necessary to complete the entire form. Amendments include changes in the correspondent or fund name or a new fiscal year end. Changes such as reorganizations should be reported under “Other”, with a written explanation. If in doubt about the proper category, use “Other” and provide an explanation.
- ITEM 4.**      Description of Securities: This information should be provided at the level necessary in the given state. For example, if the state is a “trust level” state, portfolio and class information may not be required. A separate Form NF should be filed for each portfolio or class, to the extent required by the given state. Attach a list of all portfolios or classes for “trust level” states. For states whose fees are based on the prospectus, a separate Form NF should be filed for each prospectus and should include a list of all securities listed in the prospectus.
- ITEM 6.**      CIK number (EDGAR): Please provide the Central Index Key Number that will cross-reference the SEC filing.
- Federal ID Numbers and SEC Registration Numbers: Federal identification numbers are only available for the fund or trust. Provide the Federal ID No. and SEC Registration No. if filing in a jurisdiction that requires these numbers.
- Fiscal Year: Fiscal year information is not required for unit investment trusts, since the filing period runs concurrently with SEC effectiveness.
- ITEM 7.**      Notice Period: The notice period is established by law, administrative regulation or policy in some jurisdiction. As a result, one or more of the three options provided on the form may not be available in each jurisdiction. In addition, if the issuer elects to begin the notice filing period on the date of SEC effectiveness, the notice period will end on the date that a renewal filing is required.
- ITEM 12.**     Uniform Consent to Service of Process: The uniform consent to service of process form is separate from the Notice Filing Form (Form NF). Issuers shall use the Uniform Consent to Service of Process Form (Form U-2).

**Prospectus and statement of additional information:** In some jurisdictions, you may be required by law, administrative regulation, or policy to file the Form NF with a prospectus and/or statement of additional information.