



NEW YORK STATE DEPARTMENT OF LAW  
 INVESTOR PROTECTION BUREAU  
 28 Liberty Street, 15<sup>th</sup> Floor  
 New York, NY 10005  
 1-800-771-7755 TDD (for hearing impaired) 1-800-788-9898  
 www.ag.ny.gov

**FORM NF**  
**Instructions**

**INVESTMENT PROTECTION BUREAU**  
**INSTRUCTIONS FOR FORM NF**

For open-end management-type companies registered with S.E.C. under Investment Company Act of 1940 pursuant to Art. 23-A of the General Business Law and pursuant to the National Securities Markets Improvement Act of 1996 ("NSMIA").

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

The instructions for filing a Form NF in New York are the same as for those in other jurisdictions adopting the form with two notable exceptions:

- (1) Form NF must be filed prior to sale or offer for sale; and
- (2) A separate Form NF must be filed for each individual fund or portfolio.

ITEM 1. Name of Issuer. State the name of the investment company for whom the notice filing is being made.

ITEM 3. Amendments include changes in the correspondent or fund name or a new fiscal year end. Changes like 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 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 should be filed for each prospectus and should include a list of all securities listed in the prospectus.

ITEM 5. CIK number (EDGAR): Please provide the Central Index Key Number that will cross-reference the SEC filing.

ITEM 6. Federal ID #. Federal identification numbers are only available for the fund or trust. Provide this information if filing in a jurisdiction that requires this number. Fiscal year information is not required for unit investment trusts, since the filing period runs concurrently with SEC effectiveness.

ITEM 7. 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.

AMENDMENT FILINGS. Provide the applicable information.

CONSENT TO SERVICE OF PROCESS. The Consent To Service of Process Form is separate from the Notice Filing Form. Issuers shall use the Uniform Consent to Service of Process Form (Form U-2).

<p>This Notice Filing is deemed made when it is received at the address listed. In the event that the information given in the Notice Filing is incomplete, or conflicts or is otherwise inconsistent with other information in the possession of the Department of Law, the issuer will be notified.</p> <p>Payment by Attorney's check, company check, certified check, bank check or money order. Personal checks not accepted.</p>	<p>Filing Fee .....\$1,200.00 -- Valid for four years          Amendment Fee .....\$ 30.00</p> <p>Make check payable to the NYS Department of Law</p> <p>Send remittance to: Investor Protection Bureau          NYS Department of Law          28 Liberty Street, 15<sup>th</sup> Floor          New York, NY 10005</p>
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**FORM NF**

**UNIFORM INVESTMENT COMPANY NOTICE FILING**

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

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

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

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

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

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Open-end Mutual Fund   | <input type="checkbox"/> Unit Investment Trust | <input type="checkbox"/> Closed-end Mutual Fund |
| <input type="checkbox"/> Initial Filing         | <input type="checkbox"/> Renewal Filing        | <input type="checkbox"/> Exemption Filing       |
| <input type="checkbox"/> Termination            | <input type="checkbox"/> Withdrawal            | <input type="checkbox"/> Sales Report           |
| <input type="checkbox"/> Increase Dollar Amount |  |   |

Amendments\* \_\_\_\_\_

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

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

\*The fee for amendments is \$30.00. Please remit.

4. Description and Name of Securities

Description \_\_\_\_\_

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

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

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

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

5. Contact Person:

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

Address \_\_\_\_\_

E-Mail \_\_\_\_\_

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

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

6. CIK# (EDGAR) \_\_\_\_\_ Federal ID# (if applicable) \_\_\_\_\_  
Broker-Dealer: \_\_\_\_\_ Broker-Dealer's CRD No.: \_\_\_\_\_  
Fiscal Year End (if applicable) \_\_\_\_\_

7.  Notice Period: Beginning Date \_\_\_\_/\_\_\_\_/\_\_\_\_ Ending Date \_\_\_\_/\_\_\_\_/\_\_\_\_  
 The issuer elects to have its notice filing made effective upon filing.  
 The issuer elects to have its notice filing period begin with SEC effectiveness and thereby agreed 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 filings 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. If not applicable, place N/A in the blank(s).

Period Covered: Beginning date \_\_\_\_/\_\_\_\_/\_\_\_\_ Ending date \_\_\_\_/\_\_\_\_/\_\_\_\_  
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)

- Was previously filed with state with respect the issuer of the securities by this notice and is incorporated by reference.
- Is attached.
- Not Applicable (explain): \_\_\_\_\_

13. SIGNATURES

The undersigned under penalties of perjury certifies that s/he has executed this Uniform Investment Company notice on 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: \_\_\_\_\_ By: \_\_\_\_\_  
Name of Issuer 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 a 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.**