



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

NY 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).

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.

Payment by Attorney's check, company check, certified check, bank check or money order. Personal checks not accepted.

Filing Fee\$1,200.00 -- Valid for four years
Amendment Fee\$ 30.00

Make check payable to the NYS Department of Law

Send remittance to: Investor Protection Bureau
NYS Department of Law
28 Liberty Street, 15th Floor
New York, NY 10005



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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)
 1. ☐ Was previously filed with state with respect 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 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.