

Connecticut Form CT BOIA-1 Application to Register Business Opportunity

WHERE TO FILE THIS APPLICATION

State of Connecticut Department of Banking, Securities and Business Investments Division 260 Constitution Plaza, Hartford, Connecticut 06103. Phone: 860-240-8230. Fax: 860-240-8295.

INITIAL REGISTRATION CHECKLIST (see separate instructions for post-sale registration)

- ✓ Application form
- ✓ Consent to Service of Process (Form CBOIA-2)
- ✓ Disclosure document. Sellers complying with 16 C.F.R. §436 have three filing format choices (subject to additional state required disclosures) between July 1, 2007 and July 1, 2008 with respect to their Connecticut disclosure document: 1) use the former disclosure format provided in 16 C.F.R. §436; 2) use the disclosure format as revised by the Federal Trade Commission in 2007; or 3) rely on the Uniform Franchise Offering Circular (UFOC) Guidelines.
- Financial statements consisting of 1) the seller's unaudited or audited balance sheet, income statement and statement of changes in financial condition as of a date not more than 4 months prior to the filing of this Application (if the seller has been in business for less than 12 months, the financial statements must be reviewed by an independent CPA); 2) the seller's audited balance sheet, income statement and statement of changes in financial position for the most recent fiscal year; and 3) a balance sheet and income statement and statement of changes in financial position for the prior 2 fiscal years reviewed by an independent CPA
- ✓ Copy of any contracts, agreements, brochures or other documents relating to the business opportunity
- ✓ If required by C.G.S. §36b-64, evidence of surety bond coverage or trust account

RENEWAL REGISTRATION CHECKLIST

- ✓ Updated Application form
- ✓ Disclosure document. Marked to show changes from the disclosure document previously filed. If no changes were made, include an affidavit to that effect.
- ✓ Financial statements required by Section 36b-62(b)(4)(H) of the Connecticut Business Opportunity Investment Act (see above for requirements)

INFORMATION ON THE SELLER

1.	Official name of seller			
	Address of seller			
	Principal place of business of se	eller		
2.	Official name, address and principal place of business of the seller's parent firm or holding company, if any			
3.	Address of seller's principal office in this state and any other locations in Connecticut			
4.	Person to whom communications regarding this application should be directed			
	Name			
	Firm or company			
	Address			
	Phone number	Fax Number	E-mail	
INFORMATION ON THE SELLER'S BUSINESS EXPERIENCE AND THE BUSINESS OPPORTUNITY BEING OFFERED				
docume		s contained in the disclosure doc space provided. Otherwise, con	ument, reference the disclosure nplete in full, attaching additional	

Description	Disclosure Document Page and Section	Response (if not otherwise in disclosure document)
Business experience stated individually of each of the seller's directors, officers or similarly situated individuals, including biographical data concerning these individuals		

Description	Disclosure Document Page and Section	Response (if not otherwise in disclosure document)
Business experience of the seller, including how long the seller conducted a business of the type to be operated by the purchaser-investor, has granted business opportunities for such business, and has granted business opportunities in other lines of business		
Factual description of the		
business opportunities to be offered and sold, and the services, training and assistance that the seller will provide to the purchaser-investor		
Describe any services, supplies,		
products, signs, fixtures or equipment relating to the establishment or the operation of the business opportunity that the purchaser-investor is required to purchase, lease or rent directly or indirectly from the seller		

ACTIVITY IN OTHER JURISDICTIONS

1.	List other states in which business opportunities will be offered for sale to public			
2.	List the states in which business opportunities are eligible for sale to the public			
3.	List of states, if any, that have refused, by order or otherwise, to authorize the sale of business opportunities to the public, or have revoked, or suspended the right to sell business opportunities or in which an application has been withdrawn			
SURI	ETY BOND/TRUST ACCOUNT			
	Is the seller required to obtain a surety bond or establish a trust account under Section 36b-64 of the Connecticut Business Opportunity Investment Act? Yes ☐ No ☐			
CON	NECTICUT ACTIVITY			
1.	Have any business opportunity sales been made in or from Connecticut prior to the date of this Application? Yes □ No □			
	If so, provide the names, addresses and telephone numbers of purchaser-investors, the dates of purchase, amounts invested and the names of those persons who effected the sales on behalf of the seller (attach additional sheets if needed)			
2.	Have any monies been accepted from prospective purchaser-investors or has the seller entered into any agreements with any prospective Connecticut purchaser-investors? Yes □ No □			
	If so, provide the names, addresses and telephone numbers of all prospective Connecticut purchaser-investors from whom monies were accepted or with whom the seller entered into any such agreements and the names of all individuals who acted on behalf of the seller in communicating with prospective purchaser-investors in connection with such activity. Include copies of all such signed agreements.			
FISC	AL YEAR END			
	What is the seller's fiscal year end? Use month/day format. <i>Examples: 12/31; 6/30; 4/30</i> Do not use month/year.			

UNDERTAKINGS

The applicant hereby applies for registration or acceptance for filing under the Connecticut Business Opportunity Investment Act of the business opportunity described herein, and in consideration thereof agrees so long as the registration remains in effect that it will: (1) Advise the Commissioner of any change in any of the information contained herein or in any of the documents submitted with or as a part of the application, and amend the disclosure document to show such changes; (2) Notify the Commissioner immediately upon the receipt of any stop order, denial, order to show cause, suspension or revocation order, injunction or restraining order, or similar order entered or issued by any state or other regulatory authority or by any court concerning the business opportunities of the seller currently being offered to the public; and (3) Furnish promptly all additional information and documents in respect to the business opportunities covered by the application as may be requested by the Commissioner or the Commissioner's duly authorized representative.

SIGNATURE

I certify under penalty of law and on behalf of the business opportunity seller that I have read this application and the documents filed therewith, including the seller's disclosure document; that the statements contained therein are true and correct to the best of my knowledge; and that the seller will comply with the undertakings contained in this application.

	Signature of Executive Officer or individual of similar rank	
		Print Name of Signatory:
		Title:
STATE OF		
COUNTY OF		
duly sworn u instrument fo	upon oath, did or the purpose	20 , before me, the undersigned officer, personally appeared , to me known (or satisfactorily proven) to be the person who executed in behalf of the business opportunity seller named herein, and who, being first acknowledge to me that he/she was duly authorized to executed the foregoing s therein contained, and that such application and the documents filed therewith, best of his/her knowledge.
Notary Publi My Commiss	c sion Expires:	