

## WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION—CLOSINGS

Go to the DFI website Branch Office Online Filing page:

<https://www.dfi.wi.gov.org/apps/BranchOffice/>

Sign into the account you previously set up. Then choose the [Close Existing Branch](#) link.

The Firm Selection for Closure page will ask you to enter the IARD number of the firm. If you set up more than one firm on your account, a drop down window will show the Option Name for each firm.

You can select the appropriate Option Name for the filing and press the **Fill Form** button. This will enter the IARD number automatically. You **MUST** check the box to verify that you represent the advisory firm whose name is shown on the screen. Press NEXT.

Branch Office Online - Firm Selection - Windows Internet Explorer

DFI <https://ewebapptest/apps/BranchOffice/FirmSelection.aspx?FilingType=CLOSURE>

Wisconsin Department of Financial Institutions  
Strengthening Wisconsin's Financial Future

### Securities Branch Office Filing - Firm Selection for Closure

< Previous    Next >

Choose IARD#    XYZ Firm    Fill Form  
                          ABC Firm  
                          XYZ Firm

**IARD Number**

Enter the Firm IARD Number: 999999

**Verify Firm Name**

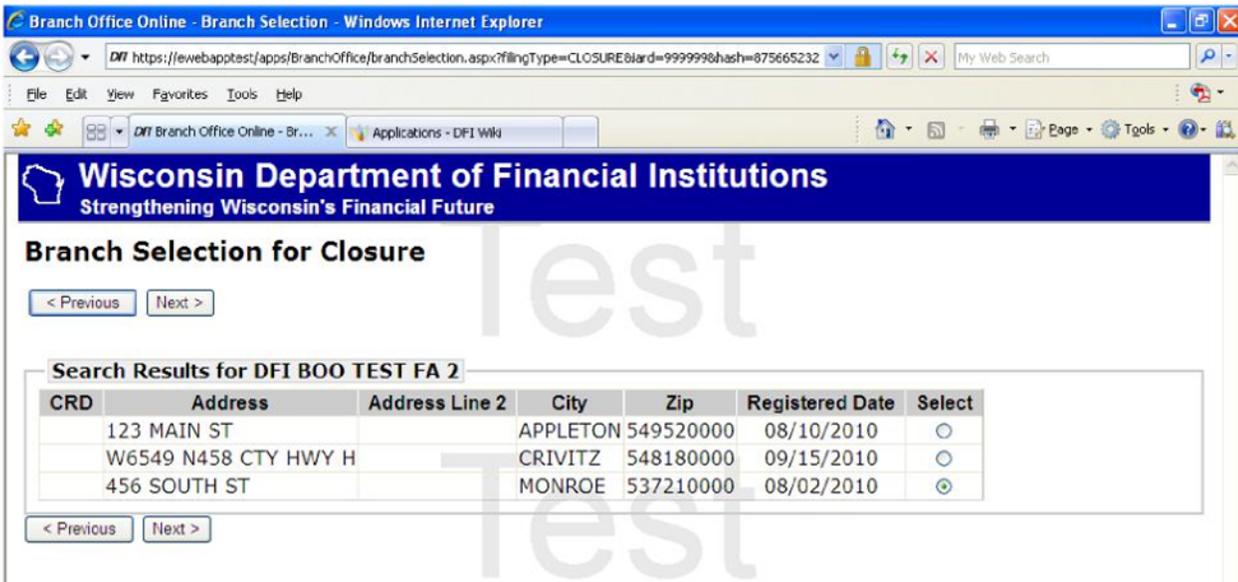
Firm Name: DFI BOO TEST FA 2  
 Checking this box confirms that you are a representative of the firm above.  
Clear Form

Indicates Required Field

< Previous    Next >

Local Intranet    100%

The next screen lists all of the open branch offices the Division has on file for the firm as of the previous business day. At least one button will have a green dot in the center when you log in. You can only close one branch at a time by pressing the button under Select for the branch you are closing. Then press NEXT.



The next screen will show the current address of the selected branch and ask you for the effective date of the closing. When you have entered the date, press NEXT.



Branch Office Online - Contact - Windows Internet Explorer

https://ewebappptest/apps/BranchOffice/contact.aspx

Wisconsin Department of Financial Institutions  
Strengthening Wisconsin's Financial Future

Effective Date **Contact** Acknowledgement Summary Payment Confirmation

### Branch Contact Person

Quit < Previous Next >

Choose Name XYZ Contact Fill Form

**Contact Person Name**

First Name: Michael

Middle Name:

Last Name: Milken

Suffix: (Jr., Sr., III)

**Contact Information**

Organization Name:

Email Address: kenneth.hojnacki@wisconsin.gov

Repeat Email Address: kenneth.hojnacki@wisconsin.gov

Phone Number: 6055555555 (ex: 555-555-5555)

Extension:

Indicates Required Field

**Need Help?**

The contact person will serve as the primary contact during the processing of this form. If the DFI Staff have questions regarding this filing, they will contact this person.

**Save Time on Future Filings**  
Create a WI DFI web account and store your contact information. You'll be able to select it from a dropdown box to quickly fill out forms in the future.

The Branch Contact Person screen can be completed by simply selecting the correct Option Name from the Choose Name dropdown and then pressing the Fill Form button. If all the information is correct, press NEXT.

Branch Office Online - Acknowledgement Person - Windows Internet Explorer

https://ewebappctest/apps/BranchOffice/acknowledgement.aspx

Wisconsin Department of Financial Institutions  
Strengthening Wisconsin's Financial Future

Effective Date Contact **Acknowledgement** Summary Payment Confirmation

### Branch Acknowledgement Person

Quit < Previous Next >

Copy Contact Person Info

**Acknowledgement Person Name**

First Name: Michael  
Middle Name:   
Last Name: Milken  
Suffix: (Jr., Sr., III)

**Acknowledgement Information**

Organization Name:   
Email Address: kenneth.hojnacki@wisconsin.gov  
Repeat Email Address: kenneth.hojnacki@wisconsin.gov

Indicates Required Field

Quit < Previous Next >

Need Help?

The acknowledgement person will receive notification that the branch office filing has been submitted and processed. The acknowledgement person and the contact person may be the same or different.

**Save Time on Future Filings**  
Create a WI DFI web account and store your acknowledgement person information. You'll be able to select it from a dropdown box to quickly fill out forms in the future.

The Branch Acknowledgement Person screen can be completed by pressing the Copy Contact Person Info button or entering at a minimum the information in the fields marked with the red square. When finished, press NEXT.

Branch Office Closure Filing Summary

Quit < Previous Next >

**Please review this information very carefully**

**Firm**

IARD Number: 999999  
Firm Name: DFI BOO TEST FA 2

**Branch CRD**

CRD Number: Branch CRD not entered

**Effective Date**

Effective Date: 9/16/2010  
Edit Effective Date

**Branch Address**

Address: 456 SOUTH ST  
City, State, Zip: MONROE, WI 537210000

**Contact Person**

Name: Michael Milken  
Organization:

The Filing Summary will show you all the information entered for your filing. If you need to change any of this information, press the EDIT button in each section needing to be changed. If all the information is correct, press NEXT.

**Wisconsin Department of Financial Institutions**  
Strengthening Wisconsin's Financial Future

### Welcome to Wisconsin Branch Office Online

#### Branch Office Filing Confirmation

Your Branch Office Closure is complete.

**Firm IARD#:** 999999  
**Firm Name:** DFI BOO TEST FA 2  
**Branch CRD #:** Branch CRD not entered  
**Date Effective:** 9/16/2010  
**Branch Address:** 456 SOUTH ST  
MONROE, WI 537210000  
[Printer Friendly version](#)

#### Branch Office Filing

[Return to Branch Office Filing Home Page](#)

The Branch Office Filing Confirmation screen will advise that your filing was completed and show the information included in the filing. Because there are no fees associated with closure filings, there are no charges listed if the filing was made within 14 days of the effective date of the closure.

If the filing is more than 14 days after the effective date, the filing will be subject to a late filing fee.

Branch Office Online - Late Fee Information - Windows Internet Explorer  
https://ewebapptest/apps/BranchOffice/lateFee.aspx

**Wisconsin Department of Financial Institutions**  
Strengthening Wisconsin's Financial Future

Effective Date | **Late Fee** | Contact | Acknowledgement | Summary | Payment | Confirmation

### Late Fee Assessed

[Quit](#) [< Previous](#) [Next >](#)

#### Branch Office Late Fee Assessment

You entered an effective date of 8/16/2010. Since this date is more than 14 days ago, per Wisconsin Administrative Code sections DFI-Sec 5.04(5) (a) and 7.01(6)(d), a \$100 late fee is being charged. You are required to pay the late fee with this filing. You may appeal this late fee. If you appeal, you will need to explain in detail why the filing is late. Your appeal will be considered, and a DFI representative will contact you via e-mail with the decision regarding your appeal, within 10 days. If the appeal is approved, the late fee will be credited to your account.

I understand this filing is more that 14 days after the effective date, and do not wish to appeal the late fee.  
 I wish to appeal the late fee and will provide a detailed explanation.

#### Need Help?

If you have questions regarding the late fee, please call us at (608)266-8279.

[Quit](#) [< Previous](#) [Next >](#)

If you choose to pay the fee without an appeal, press NEXT. If you checked to appeal the late fee, the firm will then be asked to provide an explanation of why the late fee should be waived. The firm will still be charged the late fee upon completing the filing and Division staff will review the appeal request.

When a decision is made, usually within a day or two, the firm will receive an email on the outcome of the appeal. If a waiver is granted, a request will be made for a credit to the credit card used for the filing.

The screenshot shows a web browser window with the Wisconsin Department of Financial Institutions logo and tagline 'Strengthening Wisconsin's Financial Future'. The navigation menu includes 'Effective Date', 'Late Fee', 'Late Explanation' (which is highlighted), 'Contact', 'Acknowledgement', 'Summary', 'Payment', and 'Confirmation'. The main heading is 'Late Filing Explanation'. Below the heading are three buttons: 'Quit', '< Previous', and 'Next >'. A large text area labeled 'Branch Office Late Filing Explanation' contains the text 'My dog ate my filing.'. To the right of this text area is a 'Need Help?' box with the instruction 'Enter your explanation for the late filing.'. A legend at the bottom left indicates that a red square symbol 'Indicates Required Field'.

Pressing NEXT will then take you to the payment screen.

Enter your credit card information. When the filing is complete, the Acknowledgement person will receive an email with the filing information and any late filing fee charges.

Payment - Windows Internet Explorer

https://couvtestlapps/paymentprocessorgateway.aspx?url=ProcessPayment%2Easpx%3Fid%3D2075372%26identL6

My Web Search

File Edit View Favorites Tools Help

88 Payment Applications - DFI Wild

**c) Wisconsin Department of Financial Institutions**  
Strengthening Wisconsin's Financial Future

**Payment**

< Back

**Fee Details**

Type	Price
Branch Office Filing Late Fee	\$100.00

**Payment\***

Credit Card Type:  Visa  MasterCard

Credit Card Number:

Security Code:  [What is this?](#)

Expiration Month:

Expiration Year:

Cardholder's Name:   
(as it appears on card)

Please click the "Submit Payment" button only once.

**Help**

Clicking "Submit Payment" will place a charge on your credit card and submit your purchase.

**Security and Privacy**

All personal information you submit is **encrypted and secure**. For more information, please read our [privacy policy](#).

Done Local intranet +000%