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.
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.
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.
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.
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.

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.
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.

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

\[\text{https://ccuvetlabapp/paymentprocessorgateway.ashx?url=ProcessPayment%2Easpx%3Fid%3D2075372%26idenL}\]

**Payment**

**Fee Details**

<table>
<thead>
<tr>
<th>Type</th>
<th>Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>Branch Office Filing</td>
<td>$100.00</td>
</tr>
<tr>
<td>Late Fee</td>
<td></td>
</tr>
</tbody>
</table>

**Payment**

- **Credit Card Type:** Visa
- **MasterCard**

**Credit Card Number:**

**Security Code:**

**Expiration Month:** 01

**Expiration Year:** 2010

**Cardholder's Name:**

(ass it appears on card)

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.

Please click the "Submit Payment" button only once.

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