

STATE OF WISCONSIN
DEPARTMENT OF FINANCIAL INSTITUTIONS
Division of Securities

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Division of Securities
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Investment Adviser Designation of Supervisor

Pursuant to [Wis. Admin. Code s. DFI-Sec 5.05\(7\)](#), every registered investment adviser shall employ at its principal office or designated office of supervision in accordance with [Wis. Admin. Code s. DFI-Sec 5.03\(1\)](#), at least one person designated in writing to the administrator to act in a supervisory capacity who is registered as an investment adviser representative in this state and has satisfied the examination requirement in [Wis. Admin. Code s. DFI-Sec 5.01\(5\)](#).

FIRM INFORMATION

Firm's Name: _____

Firm's Address: _____

DESIGNATED SUPERVISOR INFORMATION

If the firm wishes to designate more than one supervisor, submit one form for each supervisor designated.

Name of Designated Supervisor: _____

Home Address of Designated Supervisor: _____

Office Of Employment Address:
(Must Be Principal or Designated Office)

Date Qualified/Pending In Wisconsin: _____

Supervisor CRD#: _____

THIS FORM IS TO BE SIGNED BY ANY OFFICER OF THE FIRM

Typed Name and Title of Signatory: _____

Signature: _____

Date: _____

This division is to be notified within 10 days of any change in designated supervisor. Failure to do so will be cause for a delinquent filing fee of \$100 pursuant to [Wis. Admin. Code s. DFI-Sec 7.01\(6\)\(g\)](#). (Please refer to [Wis. Admin. Code s. DFI Sec 5.04\(4\)](#).)

This document can be made available in alternate formats upon request to qualifying individuals with disabilities.