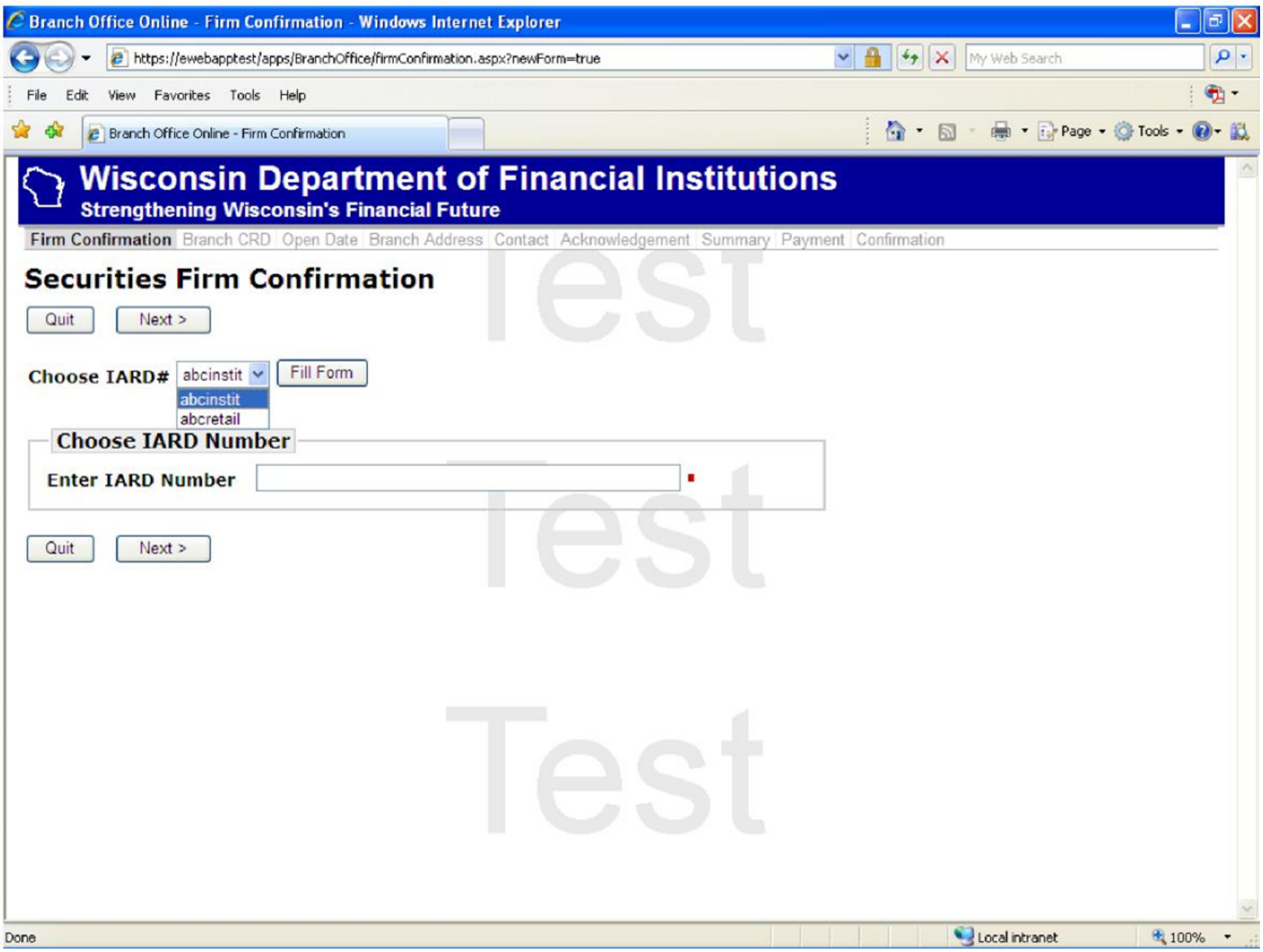
WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION—FILE A NEW BRANCH

Go to the DFI website Branch Office Online Filing page:

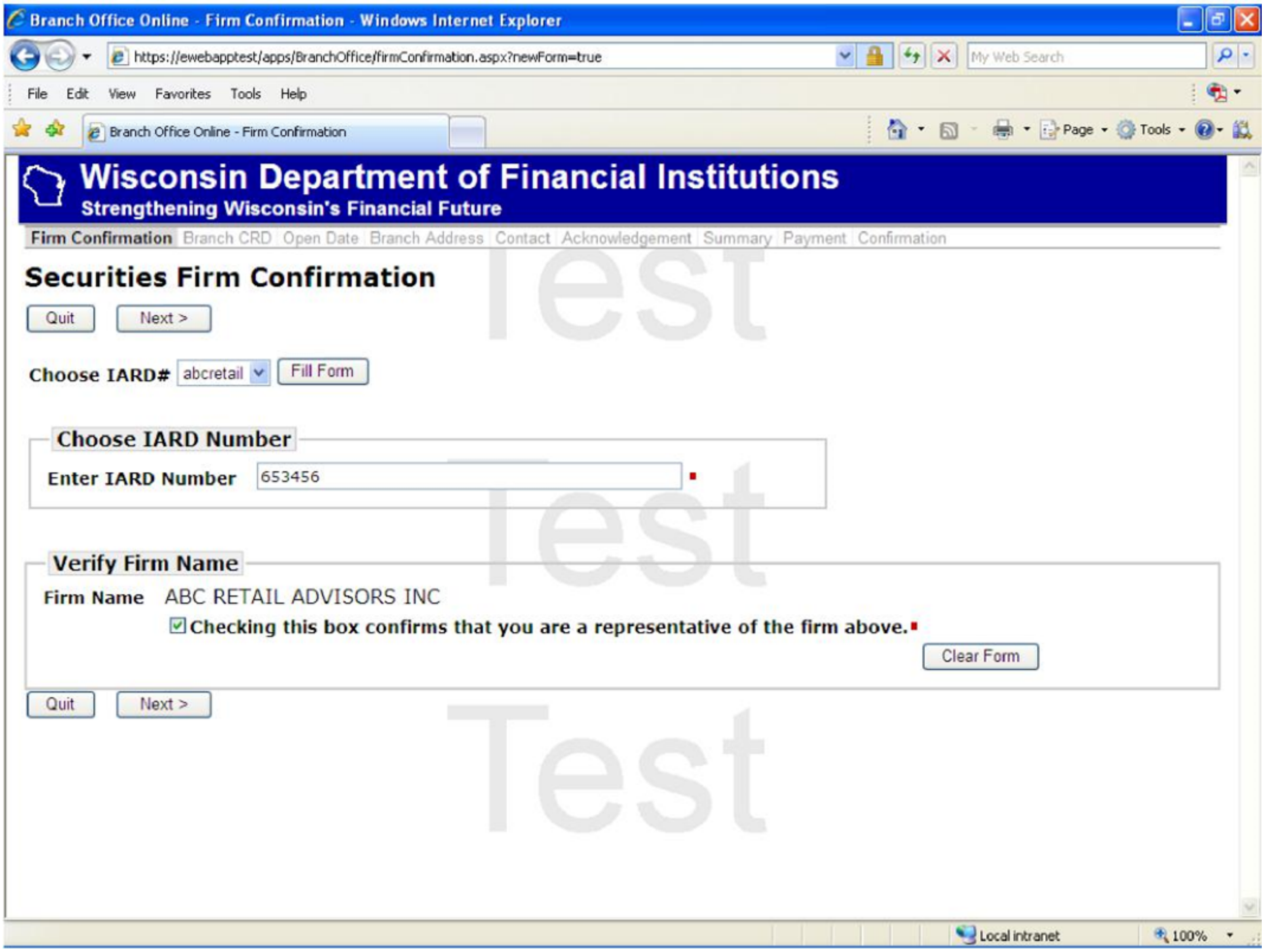
https://www.dfi.wi.gov/apps/BranchOffice/

Sign into the account you previously set up. Then choose the File New Branch link.

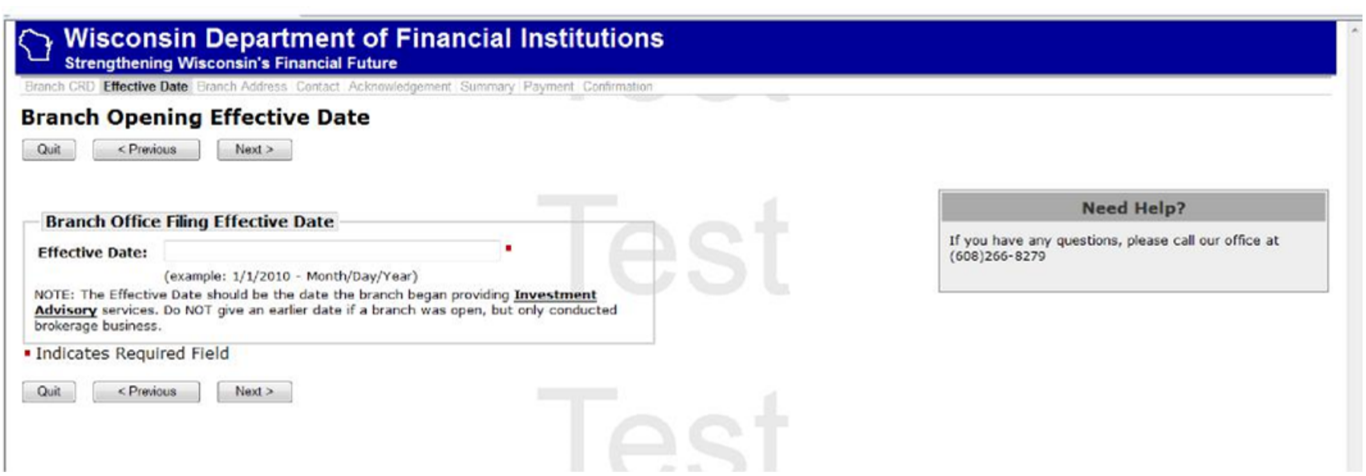
The Securities Firm Confirmation page will ask you to enter the IARD number of the firm opening the branch office. If you set up one or more firms on your account, a drop down window will show the Option Name for each firm.



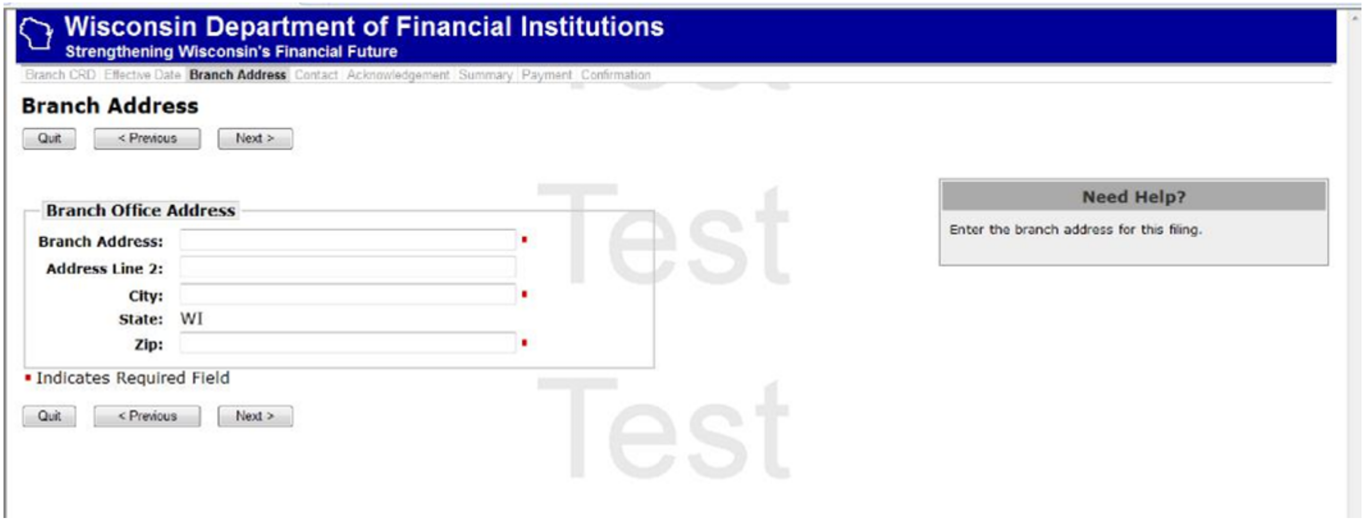
You can select the appropriate Option Name for the filing and press the Fill Form button. This will enter the IARD number automatically. You MUST check the box to verify that you represent the advisory firm whose name is shown on the screen. Press NEXT.



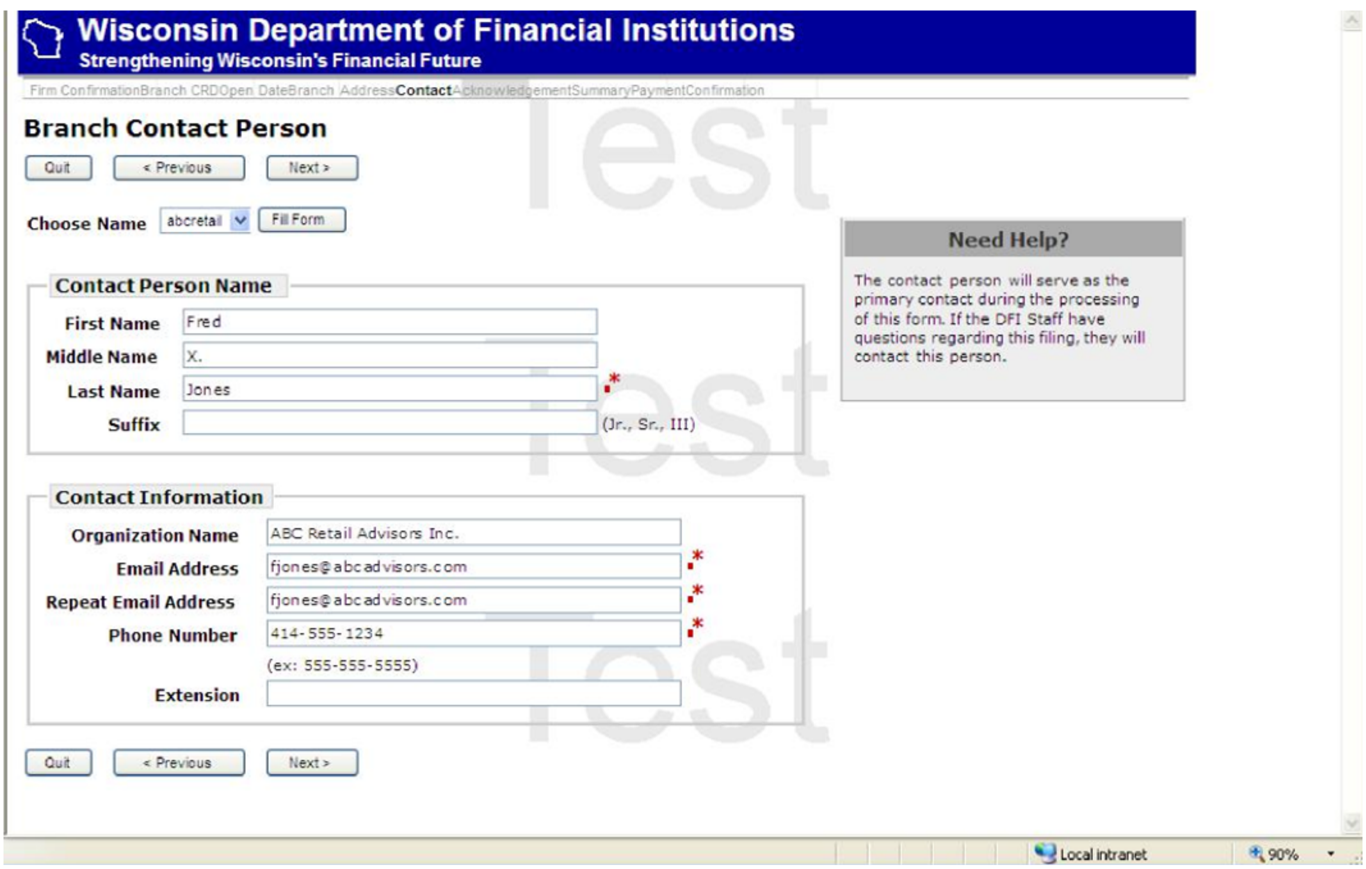
The next screen asks for the branch CRD number. If your firm is also a broker-dealer and this branch location already has a CRD number for the broker-dealer branch, enter that number here. If the location does not have a CRD number, leave the box blank and press NEXT.



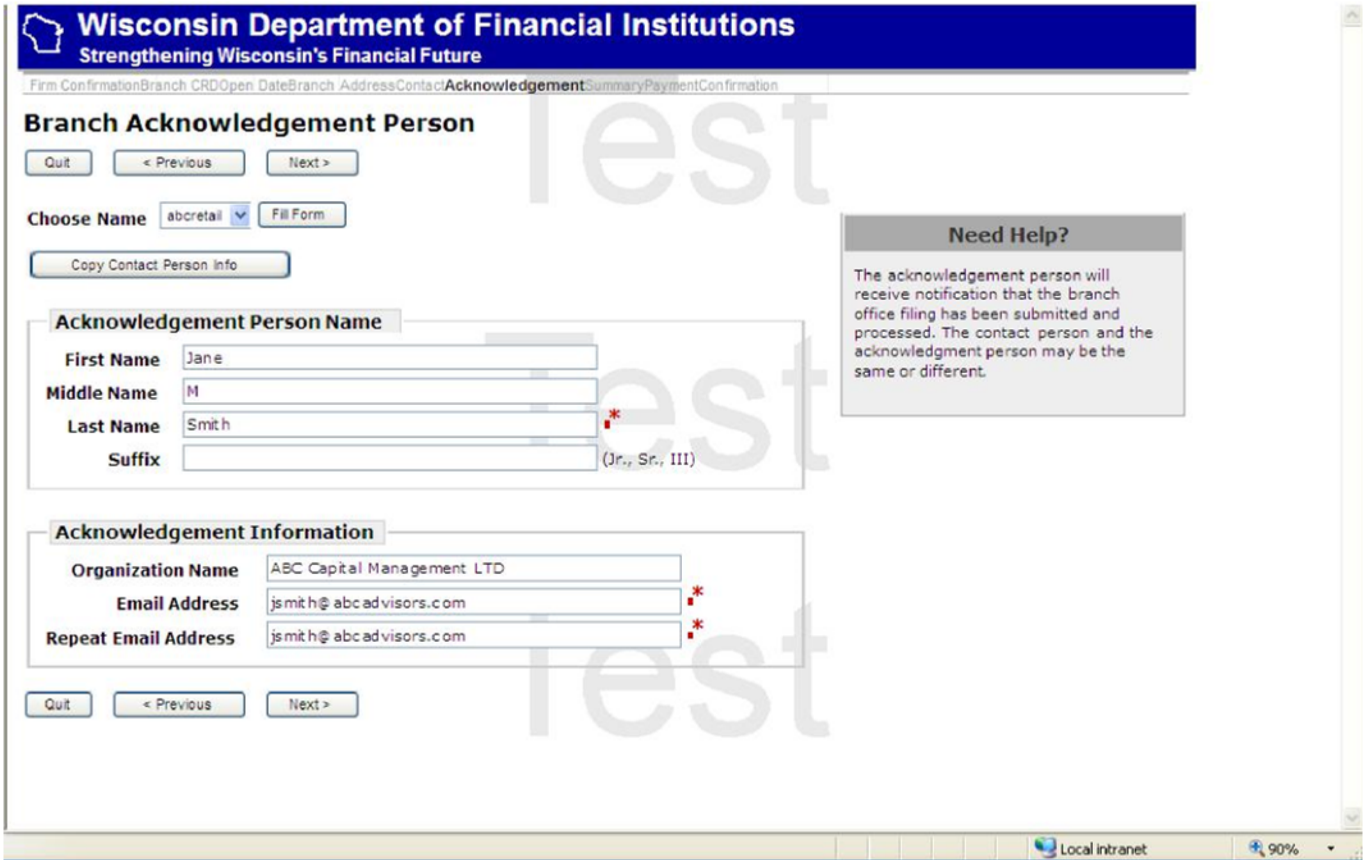
The next screen asks you to enter the opening date of the branch. Under Wisconsin law, branch office filings must be made within 14 calendar days of the opening of the branch to be considered timely filed. The Branch Office Online system will verify the number of days between the opening date you enter and the date you are filing to determine if a late filing fee is due. (See Late Filing section below) Division staff will also verify the opening date entered with other available information to verify the accuracy of the filing. When you have entered the date, press NEXT.



The next screen asks you to enter the street address of the branch office. It does not matter whether you capitalize or not. Press NEXT when finished.

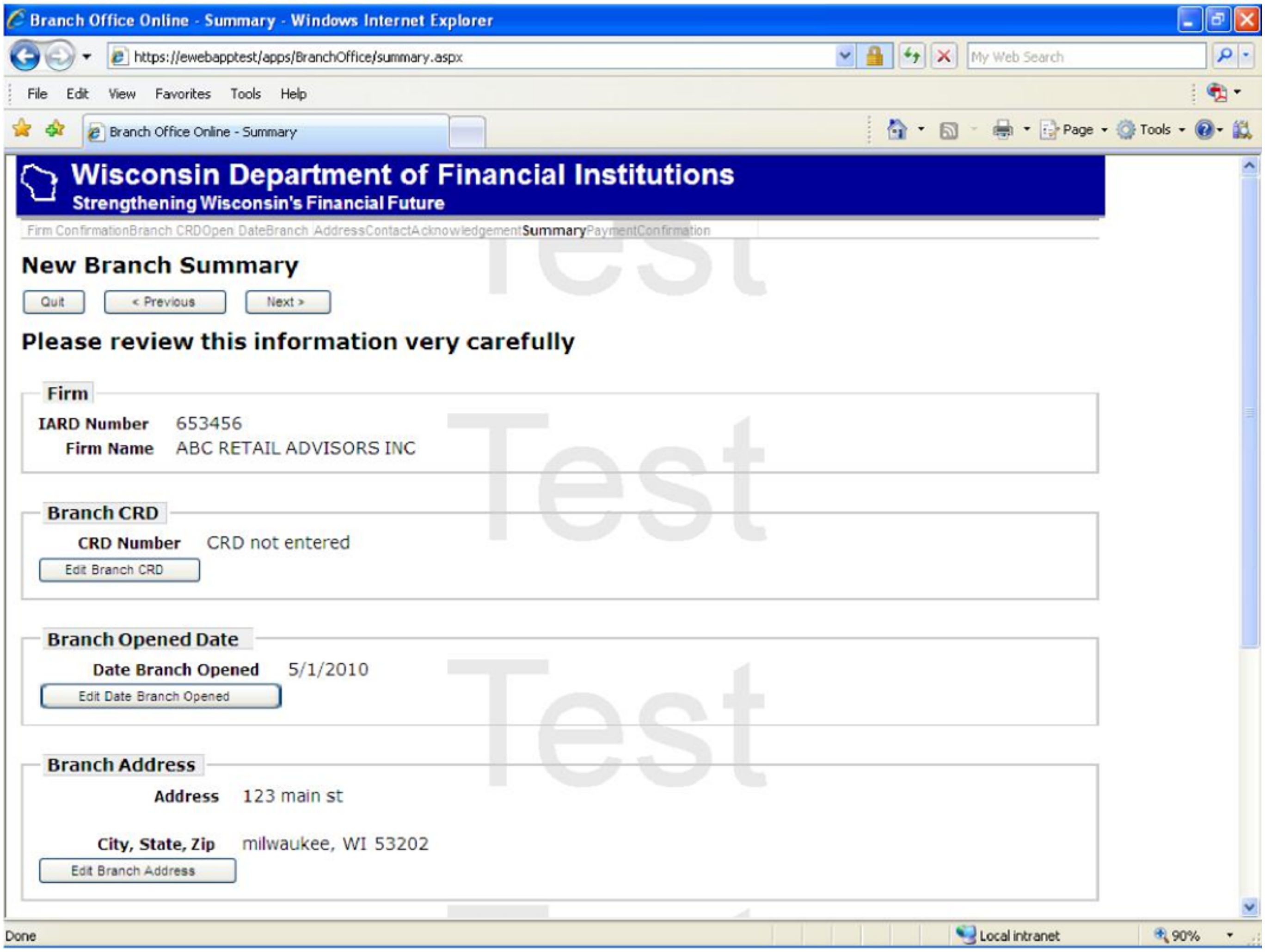


The next screen is the Branch Contact Person screen. This is where you enter the information for the person at the firm who can be contacted by the Division with questions about this branch office. If you completed Contact information for your account, you can choose the Option Name from the Choose Name drop down and press the Fill Form button to complete the information or you can type any or all the information in manually. Any information entered with the Fill Form button can be modified manually for this filing only. When finished, press NEXT.



The Branch Acknowledgement Person screen is where you enter the information for the person who will receive the email confirmations of the filing status and credit card charges. This can be the same as the Contact Person or different. If it will be the same as the Contact Person entered on the previous screen, you can press the Copy Contact Person Info button. If this should be the Acknowledgement person you set up on your account, you can again select the Option Name from the Choose Name drop down and press the Fill Form button. When finished, press NEXT.

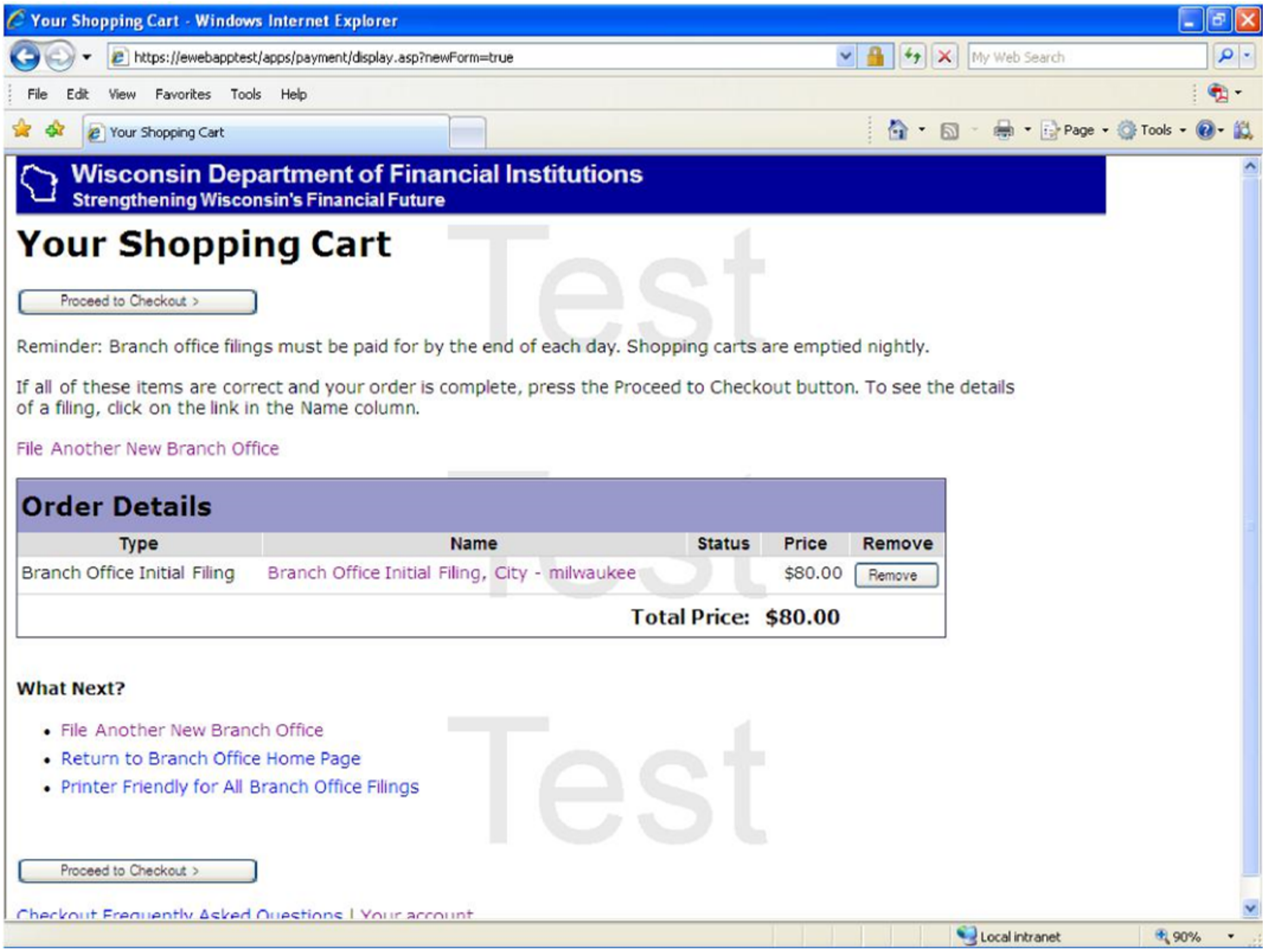
A New Branch Summary screen will then show you all the information you entered (partially displayed). Verify all the information is correct. There are Edit buttons in each section should you need to make changes. If everything is correct, press NEXT.



This will take you to Your Shopping Cart, which will detail the charges to be made against your credit card. You have three options at this point:

1. File Another Branch Office—you can file as many branch offices as you like and receive one charge for the total.
2. Review the filing information by clicking on the branch Name link.
3. Remove the filing from the cart altogether.

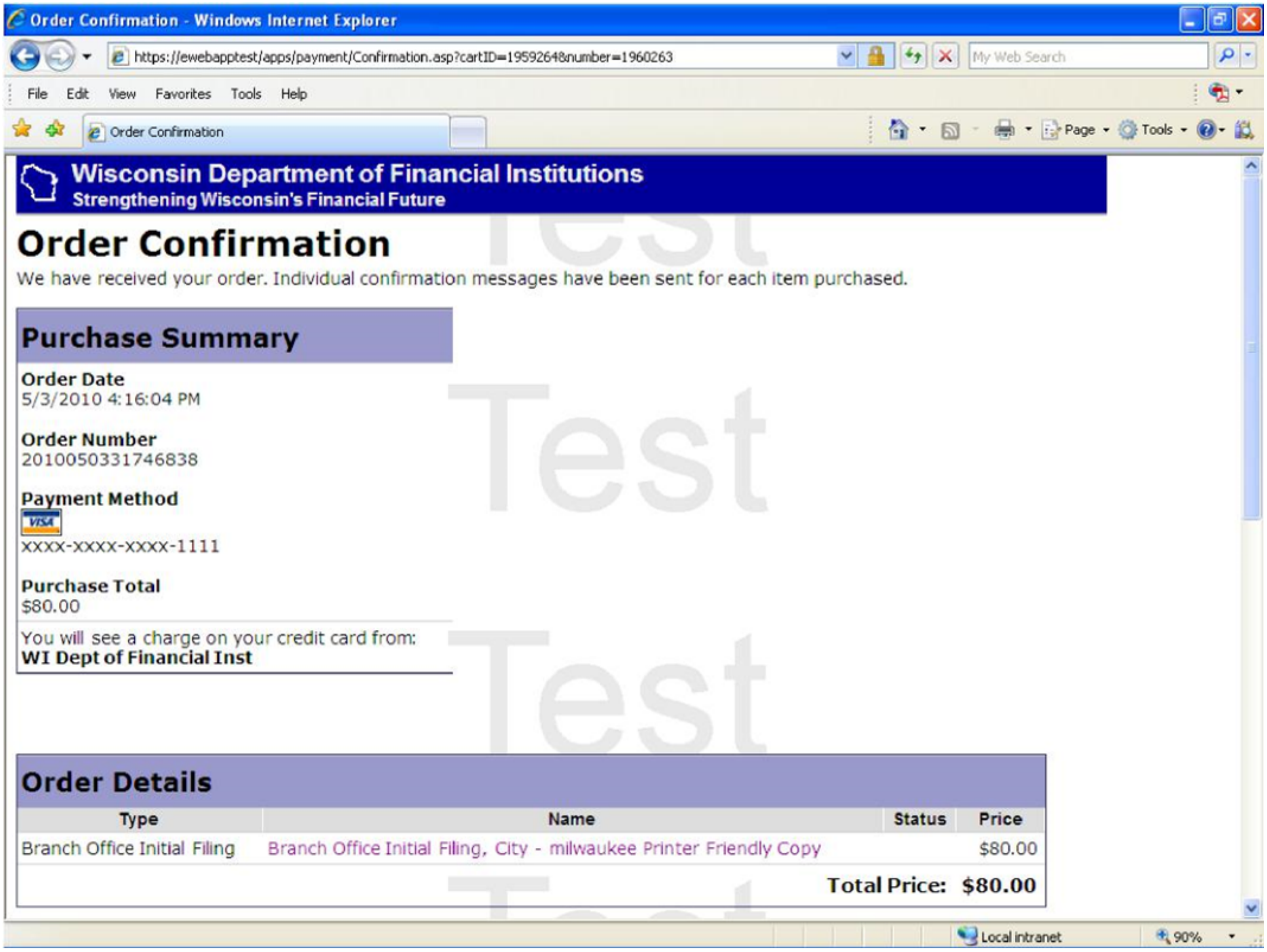
IF YOU WANT TO CANCEL THE FILING AT ANY TIME, YOU CAN USE THE QUIT BUTTON.



If everything is correct, press the Proceed to Checkout button. If you have saved your credit card information on your account, that information will be filled in and pre-selected on the Payment screen. You will be given the choice to use the credit card information you saved or enter a different card.

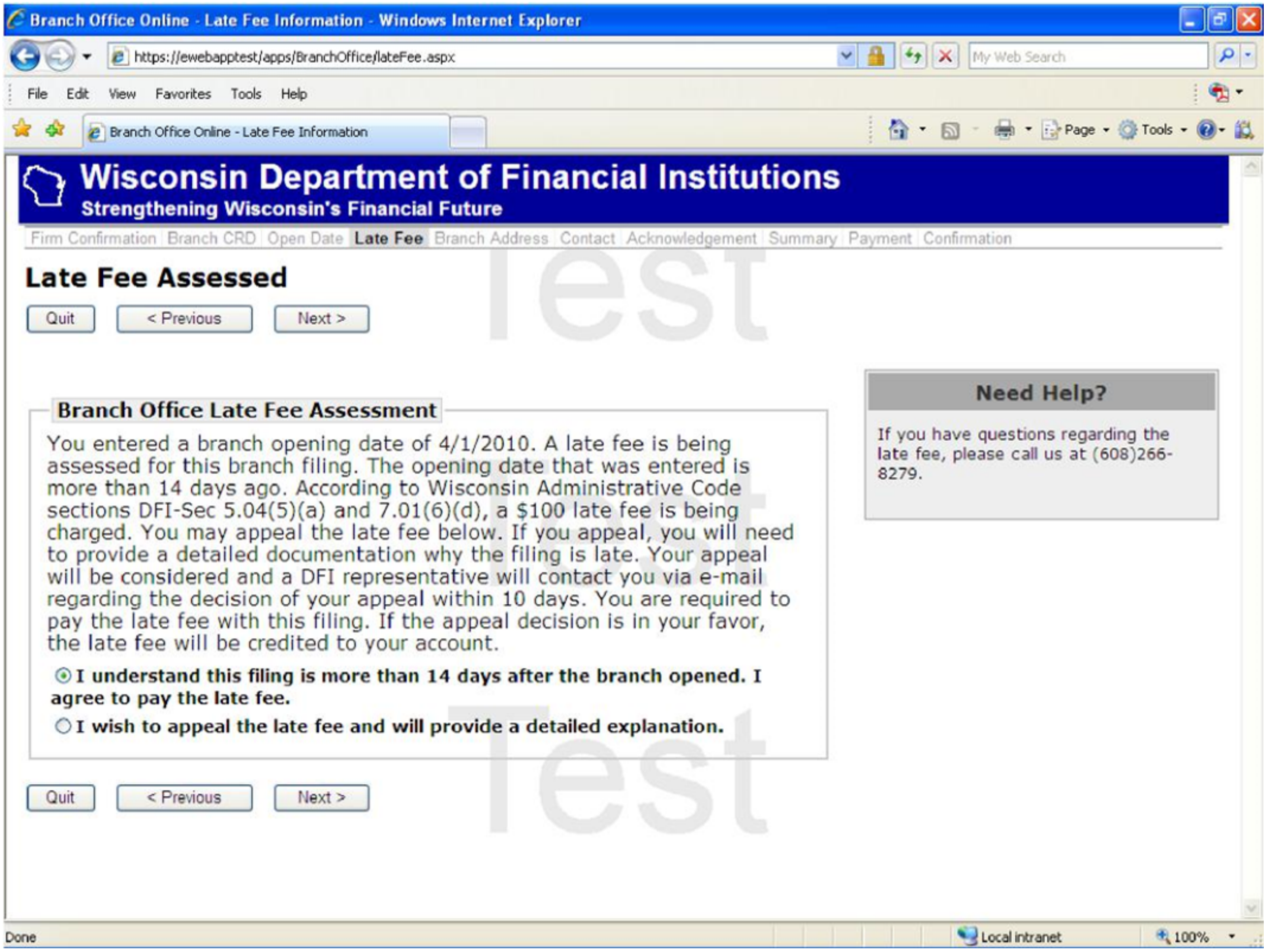
If you have not saved your credit card information, you will be taken to a screen to fill in that information. The information is for this filing only and will not be saved for future filings.

Once your have completed the credit card information, press the payment button. You will be taken to the Order Confirmation page (partially displayed) and an email acknowledging payment will be sent to the Acknowledgement Person on the filing.

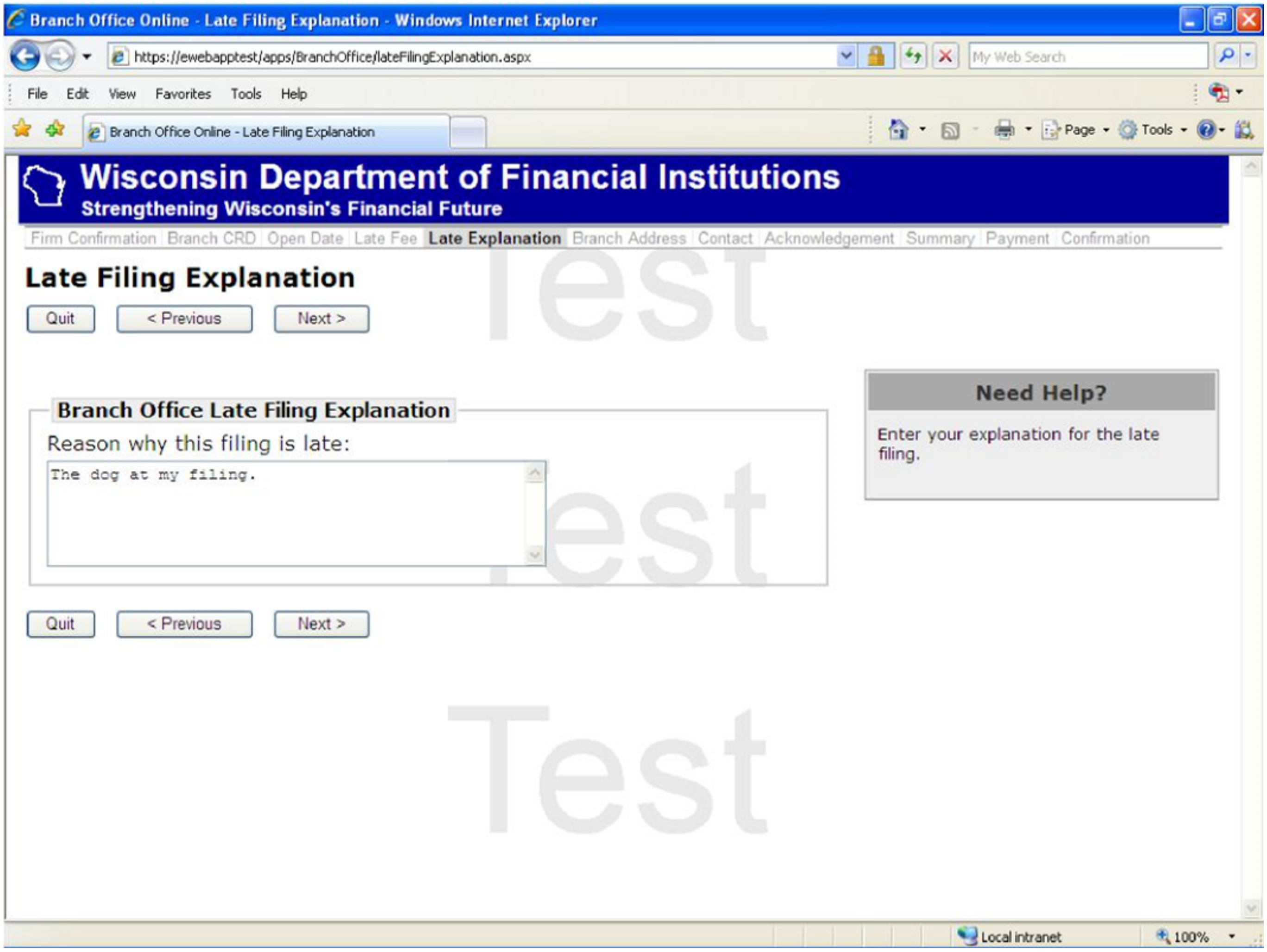


Late Filings

If a branch was opened more than 14 days prior to the filing date, a late filing fee of $100 will be assessed and charged at the time of checkout. When you proceed from the Opening Date screen for a late filing, you will get a message advising you that the filing is late and subject to a late fee. The radio button acknowledging your understanding of the late fee charge is checked by default. If you wish to proceed with the filing, press NEXT. Otherwise, you can press the other radio button to appeal the late charge.



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. Pressing NEXT will then take you through the same steps as a timely filing from this point forward.



The charge for the late fee will be itemized separately in your cart but cannot be deleted without also deleting the related branch office filing.

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.