

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.

The screenshot shows a web browser window titled "Branch Office Online - Firm Confirmation - Windows Internet Explorer". The address bar contains the URL "https://ewebapptest/apps/BranchOffice/firmConfirmation.aspx?newForm=true". The page header includes the Wisconsin Department of Financial Institutions logo and the text "Strengthening Wisconsin's Financial Future". A navigation menu lists: "Firm Confirmation", "Branch CRD", "Open Date", "Branch Address", "Contact", "Acknowledgement", "Summary", "Payment", and "Confirmation". The main heading is "Securities Firm Confirmation". Below this, there are "Quit" and "Next >" buttons. A "Choose IARD#" dropdown menu is open, showing options: "abcinstit", "abcinstit", and "abcretail". A "Fill Form" button is next to the dropdown. Below the dropdown is a text input field labeled "Enter IARD Number". At the bottom of the form area, there are "Quit" and "Next >" buttons. The page is overlaid with a large, semi-transparent "Test" watermark.

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 screenshot shows a web browser window titled "Branch Office Online - Firm Confirmation - Windows Internet Explorer". The address bar shows the URL: <https://ewebapptest/apps/BranchOffice/firmConfirmation.aspx?newForm=true>. The page header includes the Wisconsin Department of Financial Institutions logo and the slogan "Strengthening Wisconsin's Financial Future". A navigation menu contains links for Firm Confirmation, Branch CRD, Open Date, Branch Address, Contact, Acknowledgement, Summary, Payment, and Confirmation. The main heading is "Securities Firm Confirmation". Below the heading are "Quit" and "Next >" buttons. A "Choose IARD#" section features a dropdown menu with "abcretail" selected and a "Fill Form" button. A "Choose IARD Number" section has a text input field containing "653456". A "Verify Firm Name" section displays "Firm Name ABC RETAIL ADVISORS INC" and a checked checkbox with the text "Checking this box confirms that you are a representative of the firm above." A "Clear Form" button is located to the right of the checkbox. At the bottom of the form are "Quit" and "Next >" buttons. The browser's status bar at the bottom indicates "Local intranet" and "100%".

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 screenshot shows the "Branch Opening Effective Date" form. The header is identical to the previous form. The navigation menu includes "Branch CRD", "Effective Date", "Branch Address", "Contact", "Acknowledgement", "Summary", "Payment", and "Confirmation". The main heading is "Branch Opening Effective Date". Below the heading are "Quit", "< Previous", and "Next >" buttons. A "Branch Office Filing Effective Date" section has a text input field for "Effective Date:" with a red asterisk. Below the input field is the example "(example: 1/1/2010 - Month/Day/Year)". A note states: "NOTE: The Effective Date should be the date the branch began providing **Investment Advisory** services. Do NOT give an earlier date if a branch was open, but only conducted brokerage business." A red asterisk indicates a required field. At the bottom are "Quit", "< Previous", and "Next >" buttons. On the right side, there is a "Need Help?" box with the text: "If you have any questions, please call our office at (608)266-8279".

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.

Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future

Branch CRD | Effective Date | **Branch Address** | Contact | Acknowledgement | Summary | Payment | Confirmation

Branch Address

Quit < Previous Next >

Branch Office Address

Branch Address: *

Address Line 2: *

City: *

State: WI

Zip: *

* Indicates Required Field

Quit < Previous Next >

Need Help?
Enter the branch address for this filing.

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.

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Firm Confirmation | Branch CRD | Open Date | Branch Address | **Contact** | Acknowledgement | Summary | Payment | Confirmation

Branch Contact Person

Quit < Previous Next >

Choose Name: abc retail

Contact Person Name

First Name: Fred

Middle Name: X.

Last Name: Jones *

Suffix: (Jr., Sr., III)

Contact Information

Organization Name: ABC Retail Advisors Inc.

Email Address: fjones@abcadvisors.com *

Repeat Email Address: fjones@abcadvisors.com *

Phone Number: 414-555-1234 *

(ex: 555-555-5555)

Extension:

Quit < Previous Next >

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.

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.

Branch Office Online - Summary - Windows Internet Explorer
https://ewebapptest/apps/BranchOffice/summary.aspx

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Firm Confirmation Branch CRD Open Date Branch Address Contact Acknowledgement **Summary** Payment Confirmation

New Branch Summary

Quit < Previous Next >

Please review this information very carefully

Firm
IARD Number 653456
Firm Name ABC RETAIL ADVISORS INC

Branch CRD
CRD Number CRD not entered
Edit Branch CRD

Branch Opened Date
Date Branch Opened 5/1/2010
Edit Date Branch Opened

Branch Address
Address 123 main st
City, State, Zip milwaukee, WI 53202
Edit Branch Address

Done Local intranet 90%

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.

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Your Shopping Cart

[Proceed to Checkout >](#)

Reminder: Branch office filings must be paid for by the end of each day. Shopping carts are emptied nightly.

If all of these items are correct and your order is complete, press the Proceed to Checkout button. To see the details of a filing, click on the link in the Name column.

[File Another New Branch Office](#)

Order Details				
Type	Name	Status	Price	Remove
Branch Office Initial Filing	Branch Office Initial Filing, City - milwaukee		\$80.00	Remove
			Total Price: \$80.00	

What Next?

- [File Another New Branch Office](#)
- [Return to Branch Office Home Page](#)
- [Printer Friendly for All Branch Office Filings](#)

[Proceed to Checkout >](#)

[Checkout Frequently Asked Questions](#) | [Your account](#)

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 you 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.

Order Confirmation - Windows Internet Explorer

https://ewebapptest/apps/payment/Confirmation.asp?cartID=19592648&number=1960263

File Edit View Favorites Tools Help

Order Confirmation

Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future


Order Confirmation

We have received your order. Individual confirmation messages have been sent for each item purchased.

Purchase Summary

Order Date
5/3/2010 4:16:04 PM

Order Number
2010050331746838

Payment Method

 XXXX-XXXX-XXXX-1111

Purchase Total
\$80.00

You will see a charge on your credit card from:
WI Dept of Financial Inst

Order Details

Type	Name	Status	Price
Branch Office Initial Filing	Branch Office Initial Filing, City - milwaukee Printer Friendly Copy		\$80.00
Total Price:			\$80.00

Local Intranet 90%

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.

Branch Office Online - Late Fee Information - Windows Internet Explorer

https://ewebapptest/apps/BranchOffice/lateFee.aspx

File Edit View Favorites Tools Help

Branch Office Online - Late Fee Information

Wisconsin Department of Financial Institutions
 Strengthening Wisconsin's Financial Future

Firm Confirmation Branch CRD Open Date **Late Fee** Branch Address Contact Acknowledgement Summary Payment Confirmation

Late Fee Assessed

Quit < Previous Next >

Branch Office Late Fee Assessment

You entered a branch opening date of 4/1/2010. A late fee is being assessed for this branch filing. The opening date that was entered is more than 14 days ago. According to Wisconsin Administrative Code sections DFI-Sec 5.04(5)(a) and 7.01(6)(d), a \$100 late fee is being charged. You may appeal the late fee below. If you appeal, you will need to provide a detailed documentation why the filing is late. Your appeal will be considered and a DFI representative will contact you via e-mail regarding the decision of your appeal within 10 days. You are required to pay the late fee with this filing. If the appeal decision is in your favor, the late fee will be credited to your account.

I understand this filing is more than 14 days after the branch opened. I agree to pay the late fee.

I wish to appeal the late fee and will provide a detailed explanation.

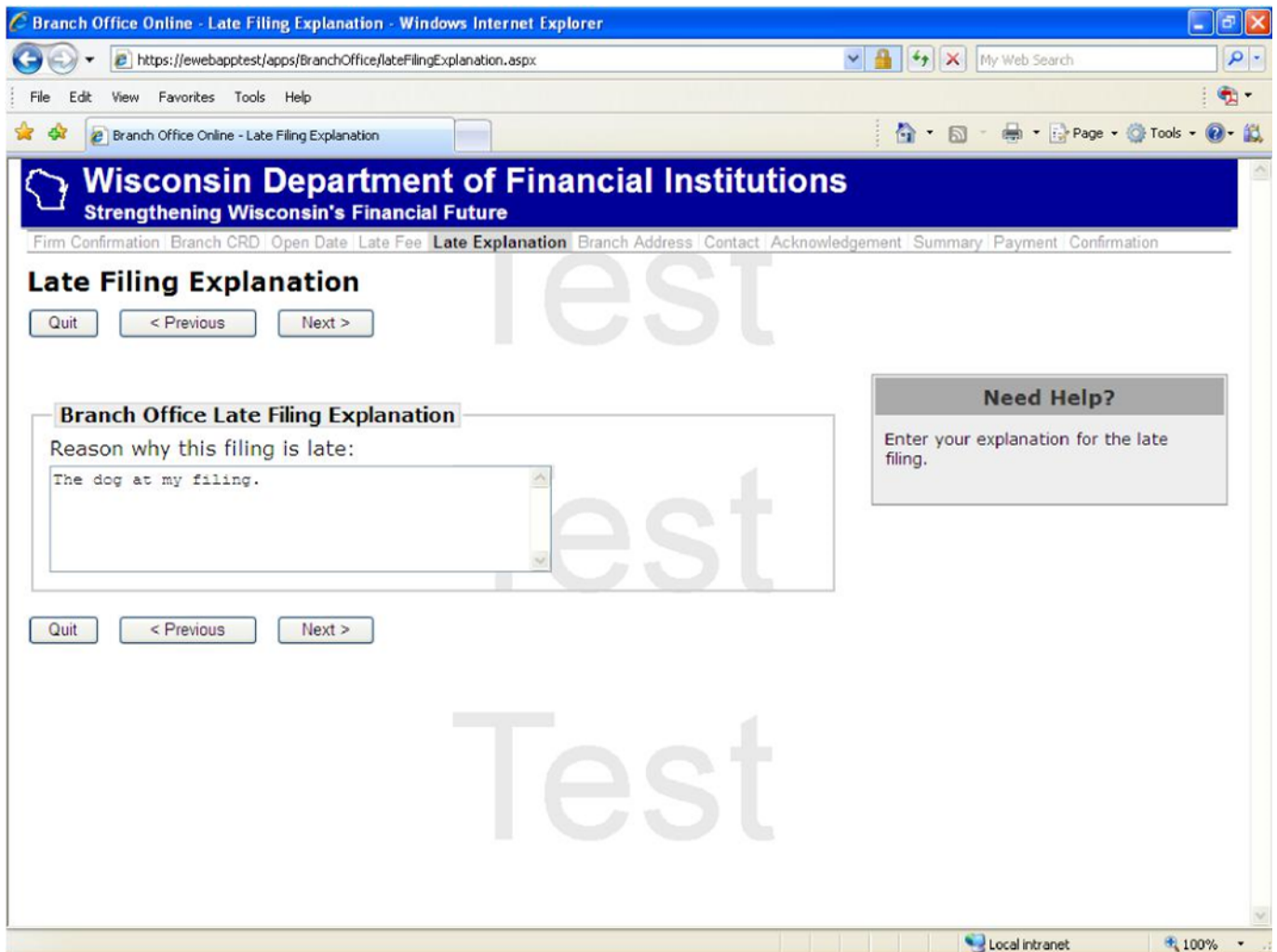
Quit < Previous Next >

Need Help?

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

Done Local Intranet 100%

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.