

**STATE OF WISCONSIN**  
**DEPARTMENT OF FINANCIAL INSTITUTIONS**  
Division of Securities

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**Wisconsin Investment Adviser Financial Certification**

Pursuant to [Wis. Admin. Code s. DFI-Sec 5.02](#), every investment adviser whose principal office is located in Wisconsin and that collects advisory fees of \$1,200 or more, six months or more in advance shall maintain a positive net worth at all times. If the investment adviser will have custody of client funds or securities and not comply with the safeguards in [Wis. Admin. Code s. DFI-Sec 5.035](#), a \$35,000 net worth must be maintained. This shall be in the form of cash, securities or other liquid assets. If the investment adviser is an individual, the capital used to meet the net worth requirement must be segregated from the individual's personal assets and used solely for the business for which the adviser is registered.

Firm's Name: \_\_\_\_\_

Firm's Address: \_\_\_\_\_  
\_\_\_\_\_

Firm's IARD Number: \_\_\_\_\_

I, the undersigned, do hereby certify that the above mentioned firm has and will continue to maintain at all times, the net worth sufficient to meet the requirement in [Wis. Admin. Code s. DFI-Sec 5.02](#).

I further certify that the accompanying financial statements are true to the best of my belief and knowledge.

Typed Name and Title of an Officer of the Company: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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