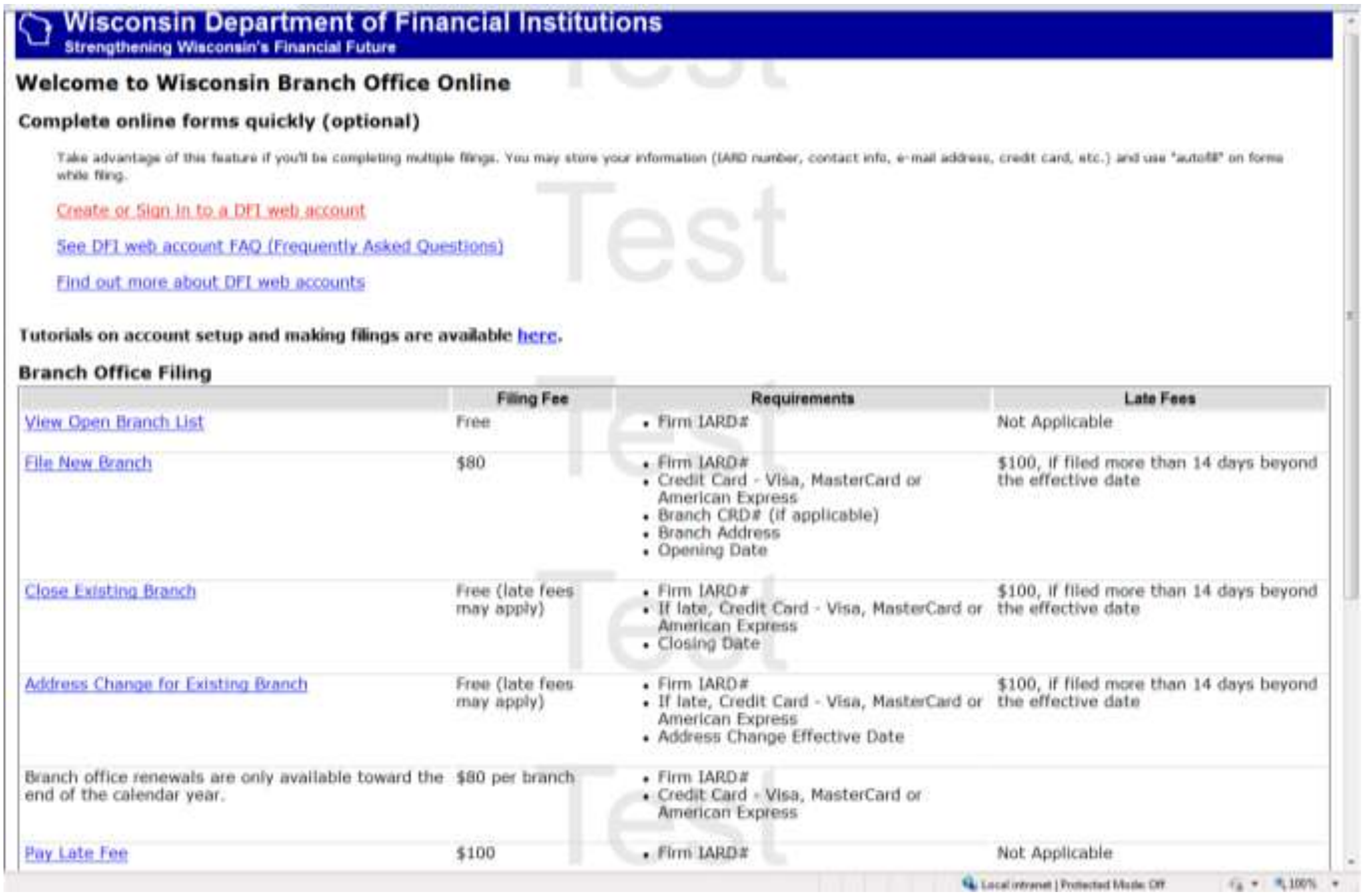
WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION—ACCOUNT SET-UP TUTORIAL

Investment advisers registered with the U.S. Securities & Exchange Commission and notice filed in Wisconsin must file a notice of each branch office in Wisconsin within 14 days of opening and pay the filing fee of $80 per branch. Follow these steps to set up your account for the Wisconsin DFI Division of Securities Branch Office Online filing application.

1. Go to the Branch Office Online application at: http://www.wdfi.org/apps/BranchOffice/ From this page, you can Create or Sign In to a DFI Web Account to use BOO, View a list of your firm's currently opened and notice filed branches in Wisconsin, File a New Branch office notice, Close an Existing Branch or Change a branch address. You can also Pay any outstanding Late Fees.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Welcome to Wisconsin Branch Office Online

Complete online forms quickly (optional)

Take advantage of this feature if you'll be completing multiple filings. You may store your information (IARD number, contact info, e-mail address, credit card, etc.) and use "autofill" on forms while filing.

Create or Sign In to a DFI web account

See DFI web account FAQ (Frequently Asked Questions)

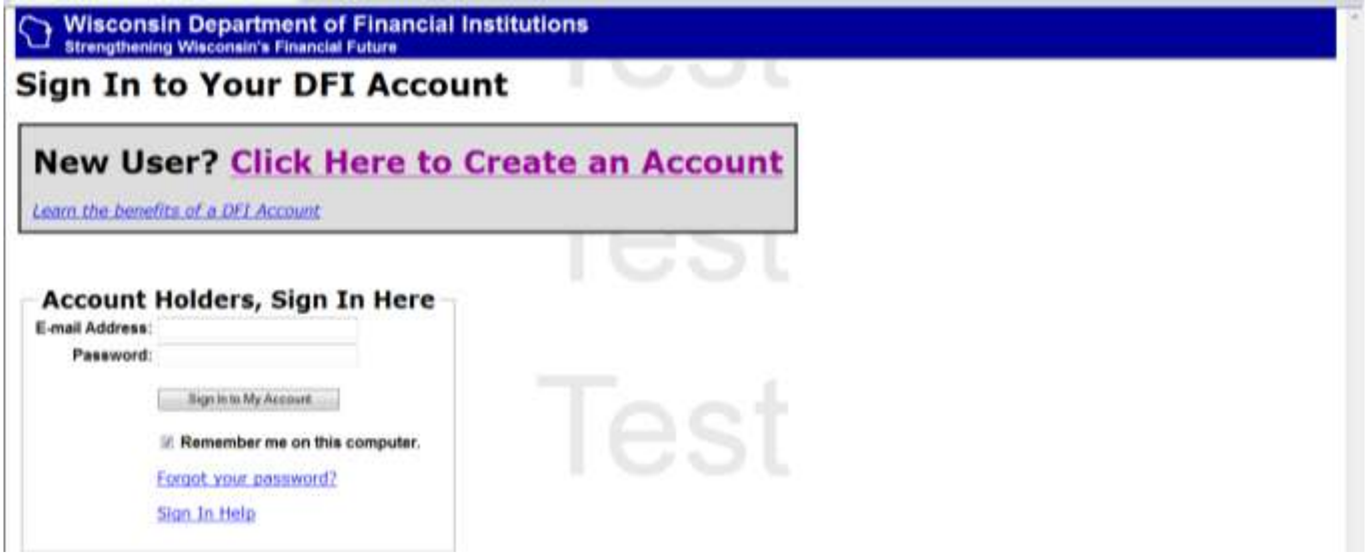
Find out more about DFI web accounts

Tutorials on account setup and making filings are available here.

Branch Office Filing

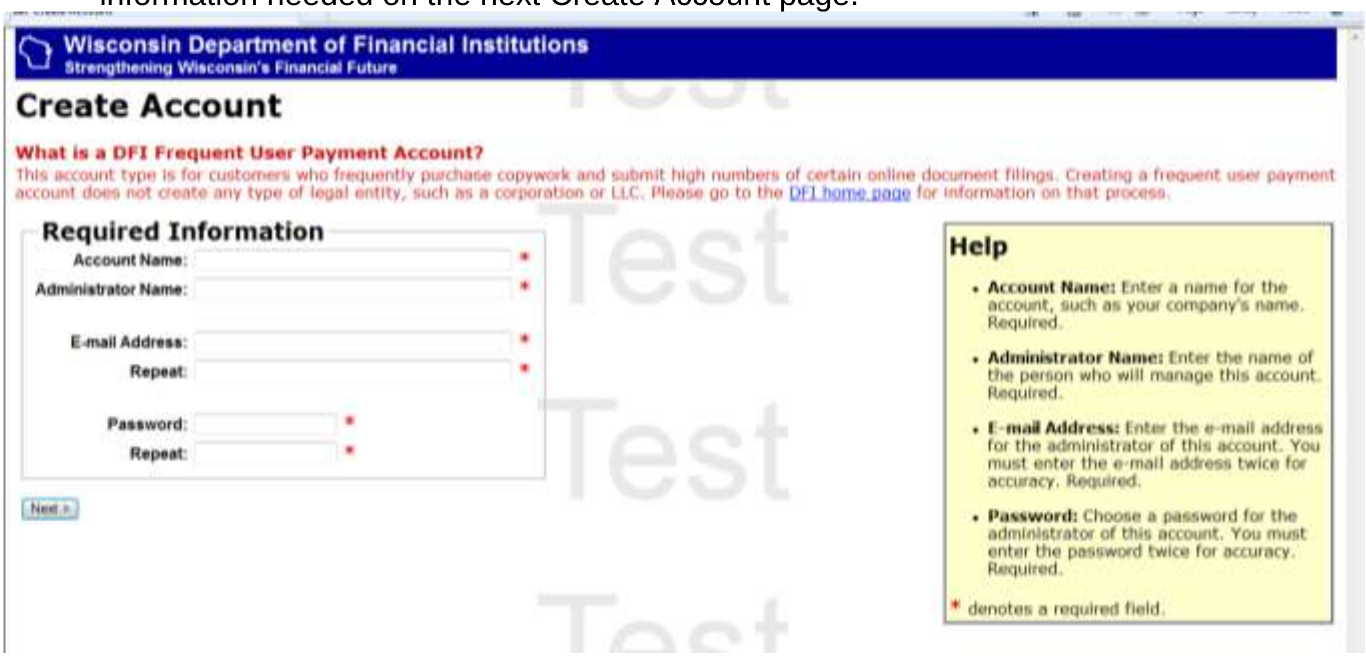
	Filing Fee	Requirements	Late Fees
View Open Branch List	Free	• Firm IARD#	Not Applicable
File New Branch	$80	• Firm IARD# • Credit Card - Visa, MasterCard or American Express • Branch CRD# (if applicable) • Branch Address • Opening Date	$100, if filed more than 14 days beyond the effective date
Close Existing Branch	Free (late fees may apply)	• Firm IARD# • If late, Credit Card - Visa, MasterCard or American Express • Closing Date	$100, if filed more than 14 days beyond the effective date
Address Change for Existing Branch	Free (late fees may apply)	• Firm IARD# • If late, Credit Card - Visa, MasterCard or American Express • Address Change Effective Date	$100, if filed more than 14 days beyond the effective date
Branch office renewals are only available toward the end of the calendar year.	$80 per branch	• Firm IARD# • Credit Card - Visa, MasterCard or American Express	
Pay Late Fee	$100	• Firm IARD#	Not Applicable

2. From the Create or Sign In link, you can either Sign In to an existing account or create a new account by clicking the Sign In link.

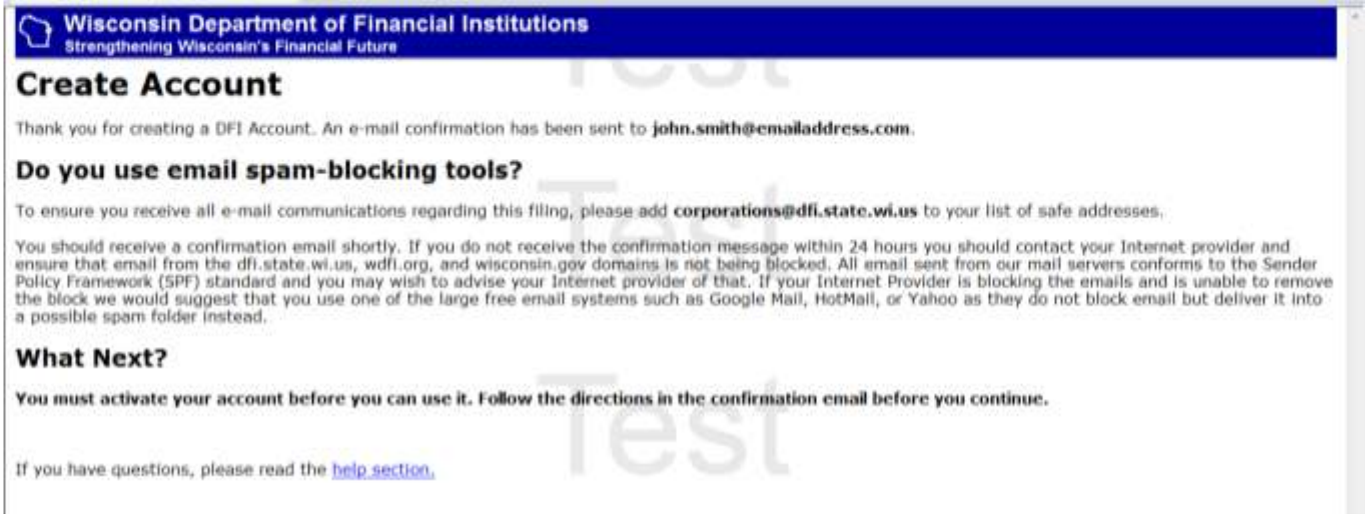


3. If you already have a Branch Office Online account, enter your username and password. To create a new account, click the Click Here to Create an Account link.

4. Each account must have one person who authorizes users for the firm. Fill in the information needed on the next Create Account page.



5. The next window will verify the administrator information you entered. Clicking the Create Account button will send an email confirmation to the person listed with instructions on completing the account setup.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Create Account

Thank you for creating a DFI Account. An e-mail confirmation has been sent to **john.smith@emailaddress.com**.

Do you use email spam-blocking tools?

To ensure you receive all e-mail communications regarding this filing, please add **corporations@dfi.state.wi.us** to your list of safe addresses.

You should receive a confirmation email shortly. If you do not receive the confirmation message within 24 hours you should contact your Internet provider and ensure that email from the dfi.state.wi.us, wdfi.org, and wisconsin.gov domains is not being blocked. All email sent from our mail servers conforms to the Sender Policy Framework (SPF) standard and you may wish to advise your Internet provider of that. If your Internet Provider is blocking the emails and is unable to remove the block we would suggest that you use one of the large free email systems such as Google Mail, HotMail, or Yahoo as they do not block email but deliver it into a possible spam folder instead.

What Next?

You must activate your account before you can use it. Follow the directions in the confirmation email before you continue.

If you have questions, please read the help section.

Managing your Account

1. The link in your email will take you to a logon page, then to this screen where you can then complete the information on your account users and your firm. You can set up your account for multiple users and make filings for more than one firm. We strongly suggest that you enter and save all of your acknowledgement and contact information for ease of filing. Saving your credit card information is optional; if you choose not to save your credit card information, you can still make filings and enter the credit card information upon checkout. Click the AutoFill Options link, then the Add Securities Firm AutoFill Option. (You will use the Add Address AutoFill Option link later.)

ABC Advisors Inc

Logged In As: ***Ken Hojnacki***

Manage Your Account

- **AutoFill Options**
  Add, edit, and delete autofill options.
  AutoFills speed up the process of online filing - read more...

- **Account**
  Change account information.

- **Users**
  Add, change, or remove a user's access to this account.

- **Payment Methods**
  Store a credit card for easy use, or manage your stored credit cards.

- **Order History**
  View and download reports of items purchased using this account.

- **UCC Notifications**
  View and edit any of your purchased UCC Notifications.

Your Shopping Cart

Help

FAQ
Answers to frequently-asked questions about DFI Accounts.

Ask A Question
Submit a question about your account to DFI.

Sign Out
Make sure to sign out if you're using a public computer!

Change Your Password

Online Filings

- Create a Wisconsin For-Profit Corporation
- Create a Wisconsin For-Profit Statutory Close Corporation
- Create a Wisconsin LLC
- Certificates of Status - Request a Certificate of Status Online
- Registered Agent Change

- Corporations Conversion
- Corporations Merger
- UCC Collateral Amendments
- UCC Continuation
- UCC Debtor Amendments
- UCC InstantFile - File an Original Financing Statement
- UCC InstantTerm - File a Termination
- UCC Secured Party Amendments
- Online Order System
- Franchise E-Filing
- Investment Adviser Branch Office Online Filing

Searches

- CRIS Search - Corporate Registration Information System
- UCC Filing Search

2. On the Edit an AutoFill Option page, you create the main information page for each firm for which you will be filing branches. The Option Name is a name you will use to identify this set of information. This Option Name will appear in drop-down boxes when making branch filings to instruct the application to automatically fill in all the information stored under that Option Name rather than having to retype it each time. This does NOT include specific branch office details, only firm contact information. You can make those AutoFill Options available only to the administrator or to all users.

   Then enter the firm’s name and IARD number and click next.

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AutoFill Administration

< Account Home Page

Description	Actions
abcinstit	Edit Delete
abcretail	Edit Delete

Add Address AutoFill Option

Add Securities Firm AutoFill Option

< Account Home Page

3. This page lists the different Option Names under Description and buttons that allow you to Edit or Delete a particular set of information. You can then hit the Add Securities Firm AutoFill Option button and enter another firm for which you will make filings, creating a different Option Name and entering the new firm's information, or the Add Address AutoFill Option to enter names and address for contacts.

4. The Add Address AutoFill Option lets you set up two different types of contacts:

    a. Acknowledgement is the name and address information for the person at the firm who will receive automatic emails regarding this filing.
    b. Contact is the name of a person at the firm who can answer questions about a particular branch office filing should the Division need information or clarification. This can be the same as the Acknowledgement person if desired.
    c. DO NOT use any of the other options as those options are intended for other online filings and are not linked to the Branch Office Online application.

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Edit an AutoFill Option

< AutoFill Administration

AutoFill Description

Option Name: abcretail

AutoFill Type: Acknowledgement

Make available to: All Users Of This Account

Name

Last: Smith

First: Jane

Middle: M

Suffix: (Jr., Sr., III)

Organization Name: ABC Capital Mar

Address

Address Line 1: 123 Main Street

Address Line 2: Suite 283

City: Milwaukee

State / Province: Wisconsin

ZIP / Postal Code: 53202

Country: UNITED STATES

E-mail Address

E-mail Address: jsmith@abcadvisors.com

Repeat: jsmith@abcadvisors.com

Phone Number

Phone Number: 414-555-1212

Ext.

◉ U.S. phone number

○ International phone number

Submit

5. Once you complete the Acknowledgement information and hit Submit, go again to the Add Address AutoFill Option link, enter the Option Name for the appropriate firm, select Contact from the AutoFill Type drop-down and enter the information.

6. When all Acknowledgement and Contact information has been entered for each Option Name, click the Account Home Page link. From this page, you can add Users and store credit card information

You are now ready to submit your branch office filings. Please see the Branch Office Filing Tutorial.