

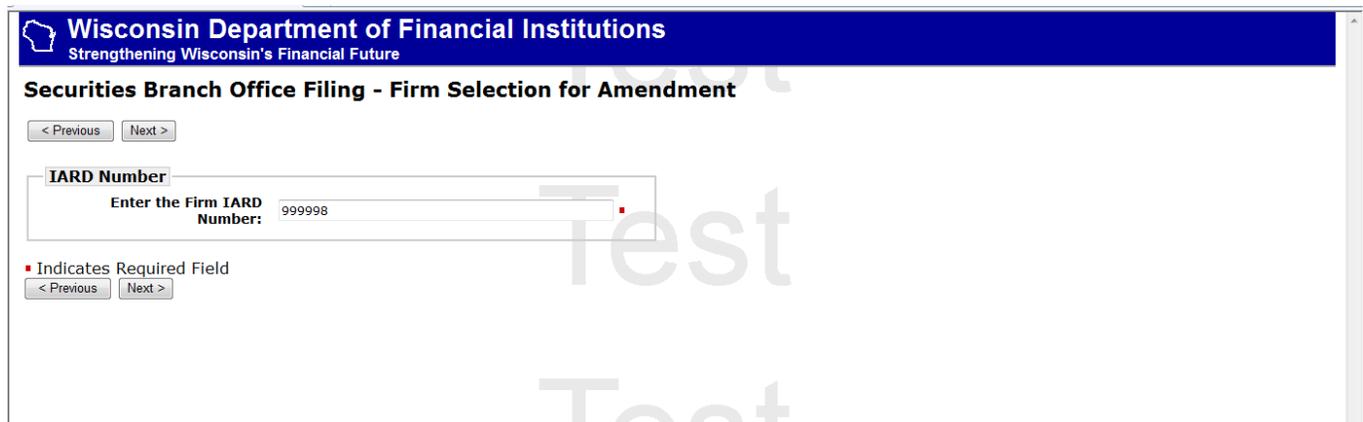
WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION—ADDRESS CHANGE

Go to the DFI website Branch Office Online Filing page:

<http://www.wdfi.org/apps/BranchOffice/>.

Sign into the Branch Office Online account you previously set up. Then choose the [Address Change for Existing Branch](#) link.

The Firm Selection for Amendment page will ask you to enter the IARD number of the firm. If you set up more than one firm on your account, a drop down window will show the Option Name for each firm.



Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future

Securities Branch Office Filing - Firm Selection for Amendment

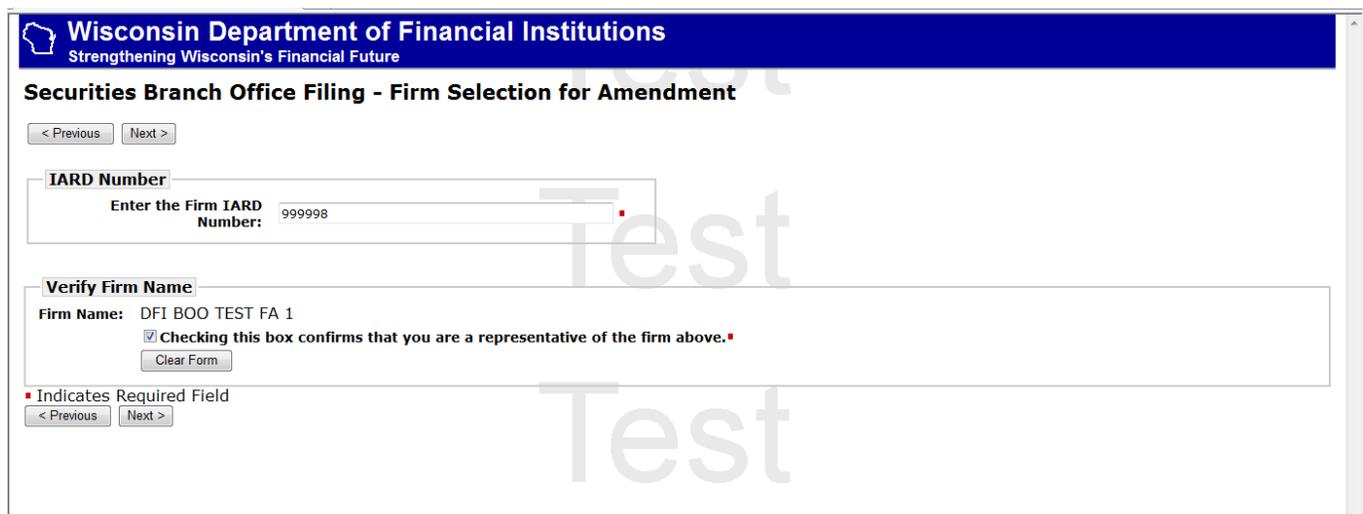
< Previous Next >

IARD Number
Enter the Firm IARD Number: 999998

Indicates Required Field

< Previous Next >

You can select the appropriate Option Name for the filing from the Choose IARD# dropdown 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.



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Securities Branch Office Filing - Firm Selection for Amendment

< Previous Next >

IARD Number
Enter the Firm IARD Number: 999998

Verify Firm Name
Firm Name: DFI BOO TEST FA 1
 Checking this box confirms that you are a representative of the firm above.
Clear Form

Indicates Required Field

< Previous Next >

The next screen is the Branch Selection for Amendment screen where you enter the branch CRD number if there is one or the city. This will bring up a list of either the branch with the CRD number entered or all branches in the city entered.

| CRD | Address | Address Line 2 | City | Zip | Registered Date | Select |
|--------|--------------|----------------|----------|-----------|-----------------|----------------------------------|
| 0 | 21 TEST BLVD | | APPLETON | 543220000 | 09/29/2010 | <input checked="" type="radio"/> |
| 307455 | 123 MAIN ST | | APPLETON | 549990000 | 08/02/2010 | <input type="radio"/> |

The next screen lists all of the open branch offices the Division has on file for the firm as of the previous business day. If the branch has a CRD number, it will be listed in the CRD column at left. At least one button will have a green dot in the center when you log in. You can only amend one branch at a time by pressing the button under Select for the branch you are amending. Then press NEXT.

The next screen will show the current address of the selected branch and ask you for the effective date of the amendment. When you have entered the date, press NEXT.

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

Branch Address

Quit < Previous Next >

Branch Office Address

Branch Address: 4323 Changeling Way ■
 Address Line 2: ■
 City: APPLETON ■
 State: WI ■
 Zip: 543220000 ■

■ Indicates Required Field

Quit < Previous Next >

Need Help?
Enter the branch address for this filing.

This screen will ask you to enter the new address for the branch. You must enter the new street, city and zip code even if one or more of these fields has not changed. Red dots indicate fields that must be completed or an error message will appear after hitting the NEXT button. When all new information has been entered, press NEXT.

Quit < Previous Next >

Choose Name ABC Contact Fill Form

- Phone number is required
- Phone number is not a valid U.S. number. Please use this format: ###-###-####

Contact Person Name

First Name: ■
 Middle Name: ■
 Last Name: milken ■
 Suffix: ■ (Jr., Sr., III)

Contact Information

Organization Name: ■
 Email Address: kenneth.hojnacki@wisconsin.gov ■
 Repeat Email Address: kenneth.hojnacki@wisconsin.gov ■
 Phone Number: 6085555555 ■
 (ex: 555-555-5555)
 Extension: ■

■ Indicates Required Field

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.

Save Time on Future Filings
Create a WI DFI web account and store your contact information. You'll be able to select it from a dropdown box to quickly fill out forms in the future.

Local intranet 100%

If you have created a BOO account, the Branch Contact Person screen can be completed by simply selecting the correct Option Name from the Choose Name dropdown and then pressing the Fill Form button. If all the information is correct, press NEXT. Otherwise, enter the contact information as indicated. Note the example of the error message in red at the top indicating items that need to be corrected before you can advance.

Wisconsin Department of Financial Institutions
 Strengthening Wisconsin's Financial Future

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

Branch Acknowledgement Person

Quit | < Previous | Next >

Copy Contact Person Info

Acknowledgement Person Name

First Name:

Middle Name:

Last Name: ■

Suffix: (Jr., Sr., III)

Acknowledgement Information

Organization Name:

Email Address: ■

Repeat Email Address: ■

■ Indicates Required Field

Quit | < Previous | Next >

Need Help?

The acknowledgement person will receive notification that the branch office filing has been submitted and processed. The acknowledgment person and the contact person may be the same or different.

Save Time on Future Filings
 Create a WI DFI web account and store your acknowledgement person information. You'll be able to select it from a dropdown box to quickly fill out forms in the future.

Local intranet | 100%

The Branch Acknowledgement Person screen can be completed by pressing the Copy Contact Person Info button or entering at a minimum the information in the fields marked with the red square. When finished, press NEXT.

DFI Branch Office Online - Summary

Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future

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

Branch Office Amendment Filing Summary

Quit | < Previous | Next >

Please review this information very carefully

Firm
IARD Number: 999998
Firm Name: DFI BOO TEST FA 1

Branch CRD
CRD Number: 00000000

Effective Date
Effective Date: 4/5/2012
Edit Effective Date

Branch Address
Address: 4323 Changeling Way
City, State, Zip: APPLETON, WI 543220000
Edit Branch Address

Contact Person
Name: milken
Organization:
Phone: 608-266-7824
E-Mail: kenneth.hojnacki@dfi.wisconsin.gov
Edit Contact Person

Acknowledgement Person Info
Name: milken

Local intranet | Protected Mode: Off | 100%

The Filing Summary will show you all the information entered for your filing. If you need to change any of this information, press the EDIT button in each section to be changed. If all the information is correct, press NEXT.

Order Confirmation

We have received your order. An email confirmation message has been sent to the filing Acknowledgement Person.

Purchase Summary

No payment made for this filing.

Order Details

| Type | Name | Status | Price |
|--------------------------------|---|--------|---------------|
| Branch Office Amendment Filing | Branch Office Amendment Filing, CRD# 00000000 Printer Friendly Copy | | \$0.00 |
| Total Price: | | | \$0.00 |

What Next?

- [Return to Branch Office Home Page](#)
- [Printer Friendly version](#)

Instructions

Branch Office Amendment Filing

What we will do

DFI will review your filing during normal business hours (7:45 AM - 4:30 PM) in the order in which it was received at this Department.

After Filing Review

After your filing has been reviewed, you will receive another e-mail message saying the Branch Office filing has been completed. You do not need to take further action until renewal time.

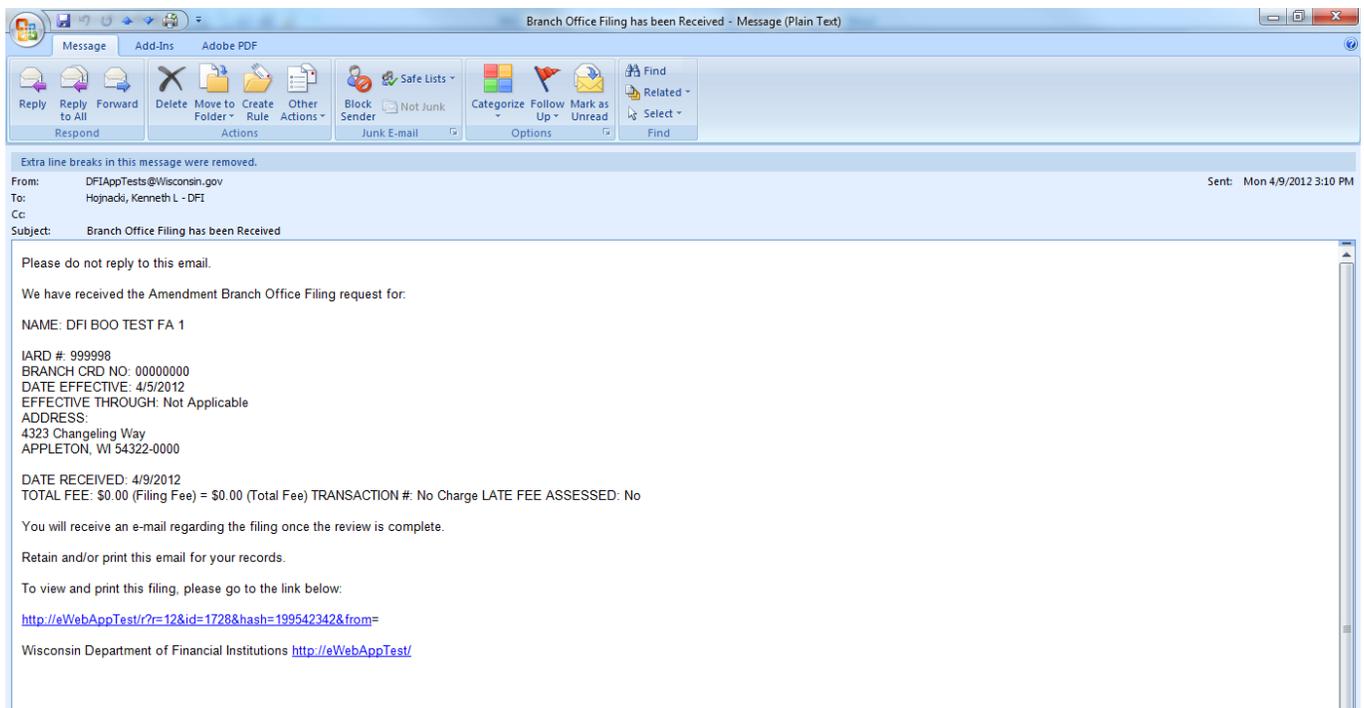
What Next?

- [Branch Office Filing Home Page](#)
- [DFI Home Page](#)

Done

Local intranet | Protected Mode: Off | 100%

The Branch Office Filing Confirmation screen will advise that your filing was completed and show the information included in the filing. Because there are no fees associated with amendment filings, there are no charges listed if the filing was made within 14 days of the effective date of the change. An email in the following format will be sent to the Contact person.



If the filing is more than 14 days after the effective date, the filing will be subject to a late filing fee.

The image shows two screenshots of a web application interface for the Wisconsin Department of Financial Institutions. The top screenshot is titled "Branch Office Online - Date Effective" and shows the "Branch Amendment Effective Date" screen. The user has entered an effective date of 8/15/2010. A "Need Help?" box on the right provides instructions: "Enter the effective date for this branch amendment. The date may not be in the future." The bottom screenshot is titled "Branch Office Online - Late Fee Information" and shows the "Late Fee Assessed" screen. It explains that a \$100 late fee is being charged because the filing is more than 14 days after the effective date. Two radio button options are provided: "I understand this filing is more than 14 days after the effective date, and do not wish to appeal the late fee." (which is selected) and "I wish to appeal the late fee and will provide a detailed explanation." A "Need Help?" box on the right provides contact information: "If you have questions regarding the late fee, please call us at (608)266-8279." Both screenshots include a navigation menu with links for Effective Date, Late Fee, Branch Address, Contact, Acknowledgement, Summary, Payment, and Confirmation. The browser window shows the URL https://ewebapptest/apps/BranchOffice/branchDateEffective.aspx and https://ewebapptest/apps/BranchOffice/lateFee.aspx respectively.

Branch Office Online - Date Effective - Windows Internet Explorer
https://ewebapptest/apps/BranchOffice/branchDateEffective.aspx

Wisconsin Department of Financial Institutions
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Effective Date | Late Fee | Branch Address | Contact | Acknowledgement | Summary | Payment | Confirmation

Branch Amendment Effective Date

Quit Next >

Branch Address: 4567 CAYUGA ST, STE 201 FROG STATION, WI 538420000

Branch Office Filing Effective Date

Effective Date: 8/15/2010
(example: 1/1/2010 - Month/Day/Year)

Indicates Required Field

Quit Next >

Need Help?
Enter the effective date for this branch amendment. The date may not be in the future.

Branch Office Online - Late Fee Information - Windows Internet Explorer
https://ewebapptest/apps/BranchOffice/lateFee.aspx

Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future

Effective Date | **Late Fee** | Branch Address | Contact | Acknowledgement | Summary | Payment | Confirmation

Late Fee Assessed

Quit < Previous Next >

Branch Office Late Fee Assessment

You entered an effective date of 8/15/2010. Since this date is more than 14 days ago, per Wisconsin Administrative Code sections DFI-Sec 5.04(5) (a) and 7.01(6)(d), a \$100 late fee is being charged. You are required to pay the late fee with this filing. You may appeal this late fee. If you appeal, you will need to explain in detail why the filing is late. Your appeal will be considered, and a DFI representative will contact you via e-mail with the decision regarding your appeal, within 10 days. If the appeal is approved, the late fee will be credited to your account.

I understand this filing is more than 14 days after the effective date, and do not wish to appeal the late fee.

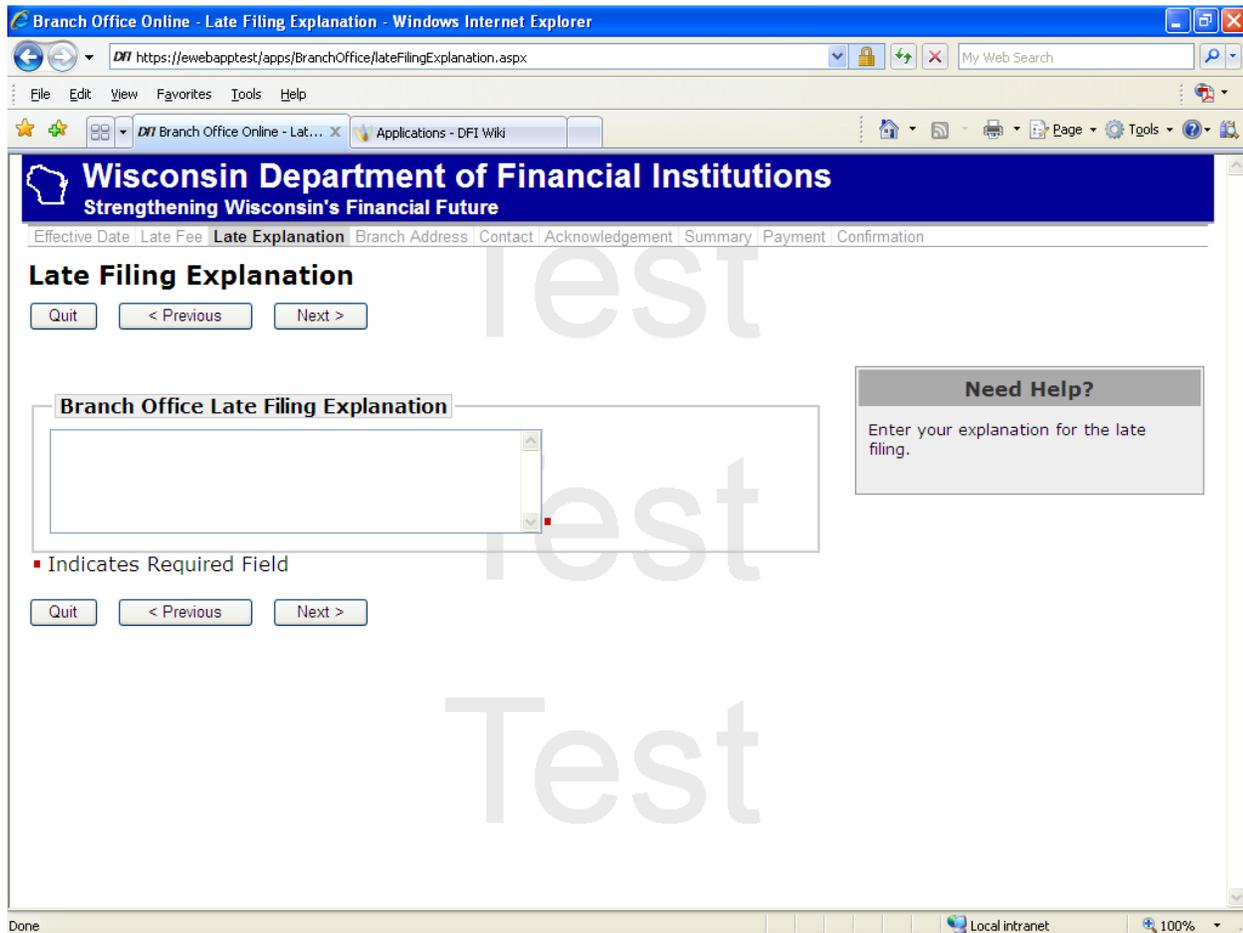
I wish to appeal the late fee and will provide a detailed explanation.

Quit < Previous Next >

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

If you choose to pay the fee without an appeal, press NEXT. 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.

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.



Pressing NEXT will then take you to the payment screen.

Enter your credit card information. When the filing is complete, the Acknowledgement person will receive an email with the filing information and any late filing fee charges.

Payment - Windows Internet Explorer

https://ccwebtest/apps/paymentprocessor/gateway.aspx?url=ProcessPayment%2Easpx%3Ffid%3D2075371%26iden

Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future

Payment

[< Back](#)

Fee Details

| Type | Price |
|-------------------------------|----------|
| Branch Office Filing Late Fee | \$100.00 |

Payment*

Credit Card Type: Visa MasterCard

Credit Card Number:

Security Code: [What is this?](#)

Expiration Month:

Expiration Year:

Cardholder's Name:
(as it appears on card)

Please click the "Submit Payment" button only once.

[< Back](#) [Submit Payment](#)

Help

Clicking "Submit Payment" will place a charge on your credit card and submit your purchase.

Security and Privacy

All personal information you submit is **encrypted and secure**. For more information, please read our [privacy policy](#).