

WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION—CLOSINGS

Go to the DFI website Branch Office Online Filing page:

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

Sign into the account you previously set up. Then choose the [File a Branch Office Closure](#) link.

The Firm Selection for Closure 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.

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.

Branch Office Online - Firm Selection - Windows Internet Explorer

DFI https://efwebapptest/apps/BranchOffice/FirmSelection.aspx?FilingType=CLOSURE

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DFI Branch Office Online - Fir... Applications - DFI Wiki

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Securities Branch Office Filing - Firm Selection for Closure

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Choose IARD# XYZ Firm ABC Firm XYZ Firm Fill Form

IARD Number

Enter the Firm IARD Number: 999999

Verify Firm Name

Firm Name: DFI BOO TEST FA 2

Checking this box confirms that you are a representative of the firm above.

Clear Form

Indicates Required Field

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The next screen lists all of the open branch offices the Division has on file for the firm as of the previous business day. At least one button will have a green dot in the center when you log in. You can only close one branch at a time by pressing the button under Select for the branch you are closing. Then press NEXT.

Branch Selection for Closure

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Search Results for DFI BOO TEST FA 2

CRD	Address	Address Line 2	City	Zip	Registered Date	Select
	123 MAIN ST		APPLETON	549520000	08/10/2010	<input type="radio"/>
	W6549 N458 CTY HWY H		CRIVITZ	548180000	09/15/2010	<input type="radio"/>
	456 SOUTH ST		MONROE	537210000	08/02/2010	<input checked="" type="radio"/>

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

Branch Closure Effective Date

Quit Next >

Branch Address: 456 SOUTH ST, MONROE, WI 537210000

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

Branch Office Filing Effective Date

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

■ Indicates Required Field

Quit Next >

Branch Office Online - Contact - Windows Internet Explorer

https://ewebappptest/apps/BranchOffice/contact.aspx

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Effective Date **Contact** Acknowledgement Summary Payment Confirmation

Branch Contact Person

Quit < Previous Next >

Choose Name XYZ Contact Fill Form

Contact Person Name

First Name: Michael

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: 6055555555 (ex: 555-555-5555)

Extension:

Indicates Required Field

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.

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.

Branch Office Online - Acknowledgement Person - Windows Internet Explorer

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

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

Branch Acknowledgement Person

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Copy Contact Person Info

Acknowledgement Person Name

First Name: Michael
 Middle Name:
 Last Name: Milken
 Suffix: (Jr., Sr., III)

Acknowledgement Information

Organization Name:
 Email Address: kenneth.hojnacki@wisconsin.gov
 Repeat Email Address: kenneth.hojnacki@wisconsin.gov

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 acknowledgement 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.

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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.

Branch Office Closure Filing Summary

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Please review this information very carefully

Firm

IARD Number: 999999
 Firm Name: DFI BOO TEST FA 2

Branch CRD

CRD Number: Branch CRD not entered

Effective Date

Effective Date: 9/16/2010
 Edit Effective Date

Branch Address

Address: 456 SOUTH ST
 City, State, Zip: MONROE, WI 537210000

Contact Person

Name: Michael Milken
 Organization:

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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 needing to be changed. If all the information is correct, press NEXT.

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Welcome to Wisconsin Branch Office Online

Branch Office Filing Confirmation

Your Branch Office Closure is complete.

Firm IARD#: 999999
Firm Name: DFI BOO TEST FA 2
Branch CRD #: Branch CRD not entered
Date Effective: 9/16/2010
Branch Address: 456 SOUTH ST
MONROE, WI 537210000
[Printer Friendly version](#)

Branch Office Filing

[Return to Branch Office Filing Home Page](#)

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 closure filings, there are no charges listed if the filing was made within 14 days of the effective date of the closure.

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

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

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

Late Fee Assessed

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Branch Office Late Fee Assessment

You entered an effective date of 8/16/2010. 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 that 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.

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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.ashx?url=ProcessPayment%2Easp%3Fid%3D2075372%26iden

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Payment

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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.

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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](#).

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