STATE OF WISCONSIN
DEPARTMENT OF FINANCIAL INSTITUTIONS
DIVISION OF SECURITIES

201 West Washington Ave. Suite 300
PO Box 1768
Madison, WI 53701-1768
(608) 266-2139
Internet: www.wdfi.org

REQUEST FOR REGISTRANT LIST

The following checklists are being provided to assist us in preparing the list that you requested. Please check all the information you wish to have included in the list. **Only the information that is checked will be included in the list.**

The Division of Securities lists contain information regarding broker-dealer firms, state-registered investment advisers, federal-covered investment advisers and broker-dealer and investment adviser Wisconsin branch offices. **We do not provide residential addresses for individuals.**

The fee for a Division of Securities generated list is $5.00 per list for information on a CD-ROM or email in Excel spreadsheet format. The turnaround time for these lists is approximately 1 week. The fees must be received in full before the list will be sent out.

The broker-dealer agent list is produced by FINRA/CRD. The exact cost for a CRD list is based on the information requested. Check all the information requested in each section of the FINRA order form. Only the information indicated on the form is available. Note that each section is a separate charge. In addition, please add $25.00 to your FINRA/CRD list total for DFI processing. If you are located in Wisconsin, please add 5.5% of the CRD fee for sales tax. Once the order form and total amount due have been received and forwarded to FINRA/CRD, the CD ROM will be prepared and shipped to the Division. The CD ROM will then be forwarded to you with acknowledgement of your payment. The turnaround time for this list has been approximately 4 weeks.

At this time, we are unable to provide a list of investment adviser representatives.

A check for either of these types of lists should be made payable to DFI - Division of Securities.

Please be sure to complete the portion of each page that requests who this list should be sent to. If the form is not signed, the request will not be processed.

Please complete only one page unless you are requesting both types of lists.

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

DIVISION OF SECURITIES LIST

LIST TYPE:

Broker-Dealer Firms ★Cost: $5.00★

☐ All Licensed Firms ☐ Only Wisconsin-Based Firms

Investment Advisory Firms ★Cost: $5.00★

☐ State Registered Advisers ☐ Federal Covered Advisers

☐ All Advisory Firms ☐ Only Wisconsin Based Firms

Branch Office Lists

☐ **Broker-Dealer Wisconsin Branch Offices** ★Cost: $5.00★

☐ **State Registered Investment Adviser Wisconsin Branch Offices** ★Cost: $5.00★

☐ **Federal Covered Adviser Wisconsin Branch Offices** ★Cost: $5.00★

Delivery Options: ☐ CD ROM ☐ Email:_____

Data comes in an Excel spreadsheet so as to be sortable and searchable.

This list should be sent to:

Attention: _____

Firm Name: _____

Address: _____

_____

_____

Phone Number: (_____) _____

Signature: _____

Date: _____

Central Registration Depository (CRD®)
Third Party List Request

Check off only the items you wish to include on your list. Each section requires a separate fee as indicated. Information items not listed below are not available. Be sure to add state sales tax if you are located in Wisconsin plus the processing fee in your total.

	Fee	
Report Limited to Approved Agents Registered with Requesting State **Include the following items of information on the report:** ☐ Individual CRD# ☐ Individual Name ☐ Hire Date with Affiliated Firm ☐ Office of Employment Address ☐ Branch ID Number ☐ Branch Phone ☐ Type of Office ☐ Registered Location Indicator ☐ Independent Contractor Indicator ☐ Affiliated Firm CRD# ☐ Affiliated Firm Name ☐ Affiliated Firm Main Office Address ☐ Affiliated Firm Main Office Phone Number ☐ Individual Approval Date in requesting jurisdiction ☐ Individual Continuous Registration Date ☐ Exams ☐ Exams with Dates ☐ Registration Licenses	$240.00	**Checking any of these items requires a $240 fee. This is the basic list format.**
☐ Employment History (Provided as a separate file.)	$240.00	**Checking this item is an additional $240 fee.**
Include only those approved agents who also meet the following criteria: Reside in requesting state ☐ Work in requesting state ☐ Reside in specified state(s): Reside in specified ZIP code(s): Work in specified state(s): Work in specified ZIP code(s): Limit to individuals who hold: ☐ Any one of the following FINRA licenses (check those that apply) ☐ All of the following FINRA licenses (check those that apply) ☐ GS ☐ GP ☐ IR ☐ IP ☐ SU ☐ OP ☐ Other (specify): Limit to Individuals who have taken and passed: ☐ Any one of the following exams (check those that apply) ☐ All of the following exams (check those that apply) ☐ S7 ☐ S24 ☐ S63 ☐ S6 ☐ S26 ☐ S65 ☐ S9 ☐ S4 ☐ S66 ☐ S10 ☐ Other (specify):	$120.00	**Checking any of these items is an additional $120 fee**
Total List Fees:	$	
5.5% Sales Tax:	$	**For WI Residents & Businesses**
DFI Processing Fee:	$ **25.00**	**Mandatory for all orders**
Total Due:	$	

This list should be sent to:

RESET FORM

Attention: _____

Firm Name: _____

Address: _____

_____

_____

Date: _____

Phone Number: (_____) _____

Signature: _____