

STATE OF WISCONSIN
DEPARTMENT OF FINANCIAL INSTITUTIONS
DIVISION OF SECURITIES



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INVESTMENT ADVISER DESIGNATION OF SUPERVISOR

Pursuant to s. DFI-Sec 5.05(7), Wis. Adm. Code, every registered investment adviser shall employ at its principal office or designated office of supervision in accordance with s. DFI-Sec 5.03(1), Wis. Adm. Code, at least one person designated in writing to the administrator to act in a supervisory capacity who is registered as an investment adviser representative in this state and has satisfied the examination requirement in s. DFI-Sec 5.01(5).

FIRM INFORMATION

FIRM'S NAME: _____

FIRM'S ADDRESS _____

DESIGNATED SUPERVISOR INFORMATION

If the firm wishes to designate more than one supervisor, submit one form for each supervisor designated.

NAME OF DESIGNATED SUPERVISOR: _____

HOME ADDRESS OF DESIGNATED SUPERVISOR: _____

ADDRESS OF OFFICE OF EMPLOYMENT: _____
(Must be Principal or Designated Office) _____

DATE QUALIFIED/PENDING IN WISCONSIN: _____ SUPERVISOR CRD # _____

THIS FORM IS TO BE SIGNED BY ANY OFFICER OF THE FIRM

TYPED NAME AND TITLE OF SIGNATORY

SIGNATURE

DATE

This Division is to be notified within 10 days of any change in designated supervisor. Failure to do so will be cause for a delinquent filing fee of \$100 pursuant to s. DFI-Sec 7.01(6)(g), Wis. Adm. Code. (Please refer to s. DFI 5.04(4), Wis. Adm. Code.)

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