State of Wisconsin

Department of Financial Institutions

Jim Doyle, **Governor** Lorrie Keating Heinemann, **Secretary**

WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION FOR FEDERAL COVERED ADVISERS

Wisconsin's Department of Financial Institutions is proud to announce that it has developed and made available a new web-based application which will allow federal covered investment advisers to file Wisconsin branch office opening notices and pay the notice filing fees online**.**

In Wisconsin, branch office notice filings are "effective upon receipt." As such, your filing will become effective as soon as the Branch Office Online filing process is complete. The Branch Office Online filing process will typically take 10 minutes or less, and provides a simple way to submit payment of the filing fee using a credit card. This system will eliminate the need to forward copies of Form BR or other paper documents related to a branch office filing and to have checks cut and mailed to our office.

Using the new Branch Office Online application will also eliminate mailing delays so the firm will be subject to fewer late filing fees. (Remember, opening notices still must be filed within 14 days of the opening of the office. The Branch Office Online system will check for compliance with this requirement and automatically assess late fees when necessary.) Using the Branch Office Online application not only gets your filing submitted more quickly than via the mail, but it will save you having to request separate checks as well as the costs associated with mailing the materials.

The new Branch Office Online application can be found at:

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

For ease of future filings, it is recommended that the firm create an account which will contain information about the person to whom filing acknowledgements can be emailed and who at the firm can be contacted about the filing if necessary. Firms can authorize more than one individual to make filings and the same DFI account can be used in instances where filings are made for more than one federal covered adviser. The firm can also enter its credit card information or, if you choose, leave that information to be entered each time you checkout of the Branch Office Online application.

We hope you enjoy the ease and convenience of using the new Branch Office Online application. Please contact us at the phone number or email below if you have any comments or questions on using the new application.

If you have any questions, please e-mail us or contact us by telephone at **(608) 266-8279.**

Professional Registration & Compliance Bureau
Wisconsin DFI Division of Securities