

WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION—RENEWAL

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 [Branch Office Renewal](#) link.

The Firm Selection for Renewal 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.

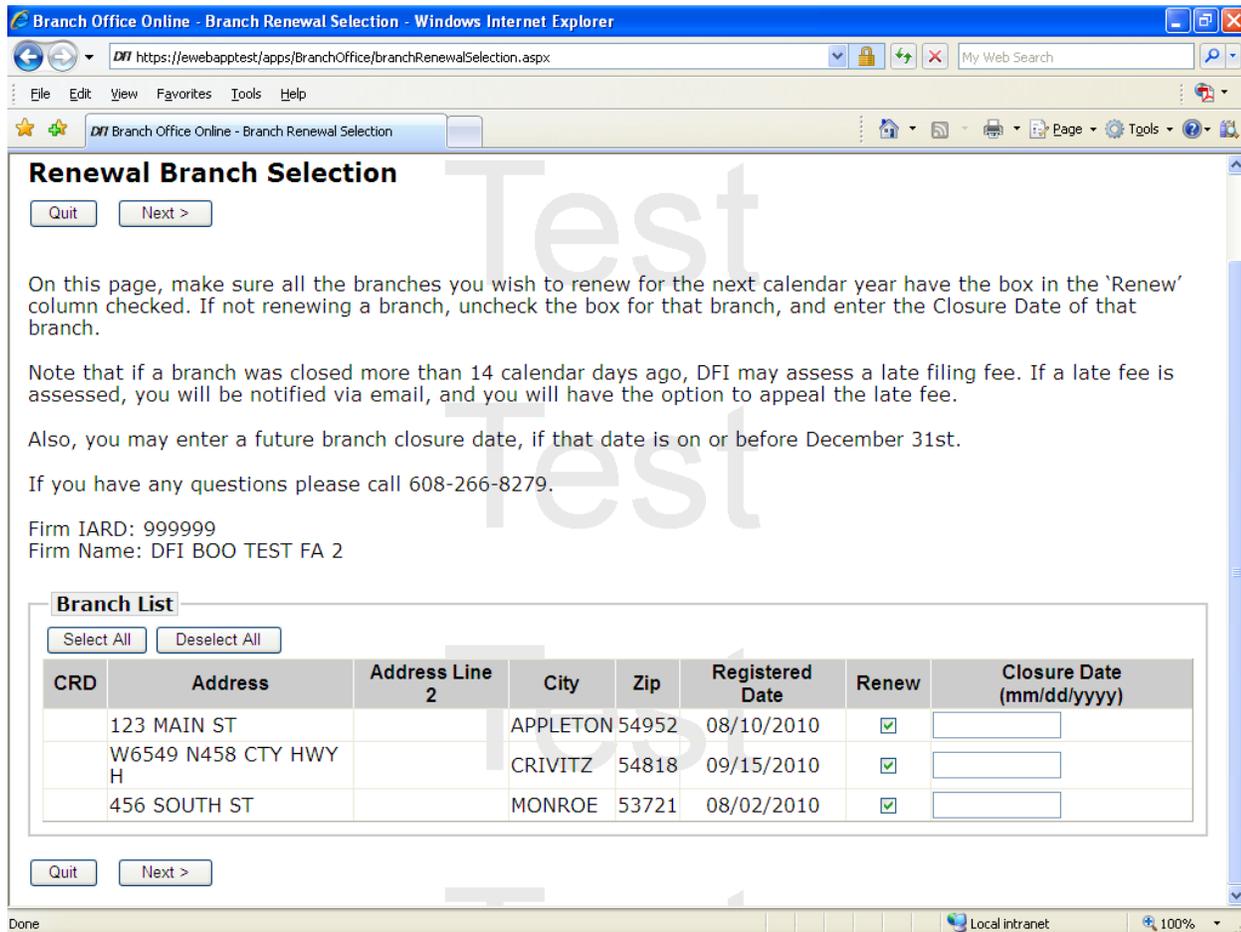
The screenshot shows a web browser window titled "Branch Office Online - Firm Selection - Windows Internet Explorer". The address bar shows the URL: <https://ewebapptest/apps/BranchOffice/firmSelection.aspx?filingType=RENEWAL>. The page header features the Wisconsin Department of Financial Institutions logo and the text "Strengthening Wisconsin's Financial Future". The main heading is "Securities Branch Office Filing - Firm Selection for Renewal".

Navigation buttons include "< Previous" and "Next >". Below these is a "Choose IARD#" dropdown menu with "XYZ Firm" selected and a "Fill Form" button.

The "IARD Number" section contains a text input field with the value "999999" and a red square indicating a required field. The label reads "Enter the Firm IARD Number:". A large "Test" watermark is overlaid on this section.

The "Verify Firm Name" section shows the "Firm Name" as "DFI BOO TEST FA 2". Below it is a checked checkbox with the text "Checking this box confirms that you are a representative of the firm above." and a "Clear Form" button. A legend below indicates that the red square "Indicates Required Field".

At the bottom of the form are "< Previous" and "Next >" buttons. The browser's status bar at the bottom shows "Local intranet" and "100%".



The Renewal Branch Selection 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 shown in the column titled CRD. Filing Date will help identify branches having the same location address. Branches are listed in CRD number order. All branches are on one page and you can scroll down through them to view all open branches.

All RENEW boxes will have a green checkmark in them. You can renew all of your branches at one time by pressing NEXT.

Branch Office Online - Branch Renewal Selection - Windows Internet Explorer

DFI https://ewebappptest/apps/BranchOffice/branchRenewalSelection.aspx

File Edit View Favorites Tools Help

DFI Branch Office Online - Branch Renewal Selection

Renewal Branch Selection

Quit Next >

On this page, make sure all the branches you wish to renew for the next calendar year have the box in the 'Renew' column checked. If not renewing a branch, uncheck the box for that branch, and enter the Closure Date of that branch.

Note that if a branch was closed more than 14 calendar days ago, DFI may assess a late filing fee. If a late fee is assessed, you will be notified via email, and you will have the option to appeal the late fee.

Also, you may enter a future branch closure date, if that date is on or before December 31st.

If you have any questions please call 608-266-8279.

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

Branch List

Select All Deselect All

CRD	Address	Address Line 2	City	Zip	Registered Date	Renew	Closure Date (mm/dd/yyyy)
	123 MAIN ST		APPLETON	54952	08/10/2010	<input checked="" type="checkbox"/>	
	W6549 N458 CTY HWY H		CRIVITZ	54818	09/15/2010	<input type="checkbox"/>	12/31/2010
	456 SOUTH ST		MONROE	53721	08/02/2010	<input checked="" type="checkbox"/>	

Quit Next >

Done Local intranet 100%

If there are branches that you wish to close and not renew, you can either uncheck the RENEW box individually or use the Deselect All button to uncheck all boxes. When you uncheck the RENEW box, you are stating that the office has or will close. You MUST enter a CLOSURE DATE if you uncheck the RENEW box. You can enter a future date not later than December 31. Any branch not closed by December 31 will be subject to a renewal fee.

When you have entered the date, press NEXT.

Branch Office Online - Branch Renewal Review - Windows Internet Explorer

DFI https://ewebapptest/apps/BranchOffice/branchRenewalSelectionSummary.aspx

File Edit View Favorites Tools Help

DFI Branch Office Online - Branch Renewal Review

Branch Renewal Review

Quit < Previous Next >

Branch Renewal Summary

Firm IARD: 999999
 Firm Name: DFI BOO TEST FA 2
 Branches being closed: 1
 Amount: \$0.00
 Branches being renewed: 2
 Amount: \$160.00

Need Help?

Please review the information on this page to make sure that any branch renewals or closures listed are correct. If not, click the '< Previous' button to go to the previous web page and make corrections.

The following closures have been submitted for review. There is no fee for branch closures. However, if the closure date is more that 14 days in the past, a late filing fee may be assessed. If this is the case, you will receive more information via email.

CRD	Address	Address Line 2	City	Zip	Registered Date	Closure Date
	W6549 N458 CTY HWY H		CRIVITZ	54818	09/15/2010	12/31/2010

The following branches will be renewed through 12/31/2011:

CRD	Address	Address Line 2	City	Zip	Registered Date
	123 MAIN ST		APPLETON	54952	08/10/2010
	456 SOUTH ST		MONROE	53721	08/02/2010

Done Local intranet 100%

The Branch Renewal Review screen will summarize your renewal filing. It will identify the firm, the number of branches closed, the number of branches renewed and the total amount due for renewal.

It will also detail the branches you indicated would be closed and list all the branches that are renewed.

Branch Office Online - Contact - Windows Internet Explorer

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

Branch Renewal | Renewal Selection Summary | **Contact** | Acknowledgement | Summary | Payment | Confirmation

Branch Contact Person

Quit < Previous Next >

Choose Name: XYZ Contact [v] 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: (ex: 555-555-5555)

Extension:

Indicates Required Field

Quit < Previous Next >

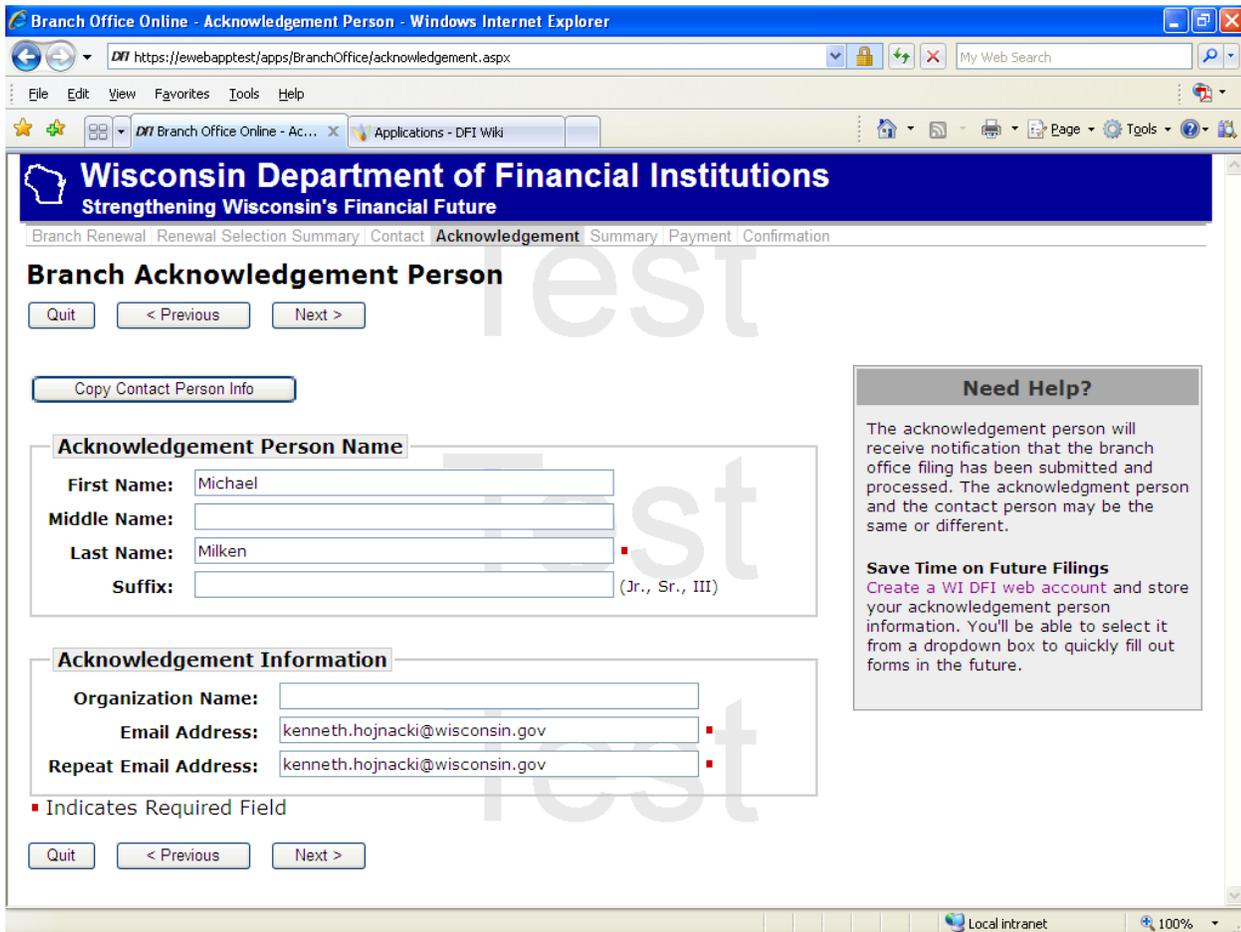
Need Help?

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%

The Branch Contact Person screen can be completed by simply selecting the correct Option Name from the Choose Name dropdown and then pressing Fill Form button. If all the information is correct, press NEXT.



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.

Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future

Welcome to Wisconsin Branch Office Online

Branch Office Renewal Confirmation
Your Branch Office Renewal is complete.

Firm IARD#: 999999
Firm Name: DFI BOO TEST FA 2
Date Effective: 9/21/2010

The following branches have been closed:

CRD	Address	Address Line 2	City	Zip	Registered Date	Closure Date
	W6549 N458 CTY HWY H		CRIVITZ	54818	09/15/2010	12/31/2010

The following branches have been renewed:

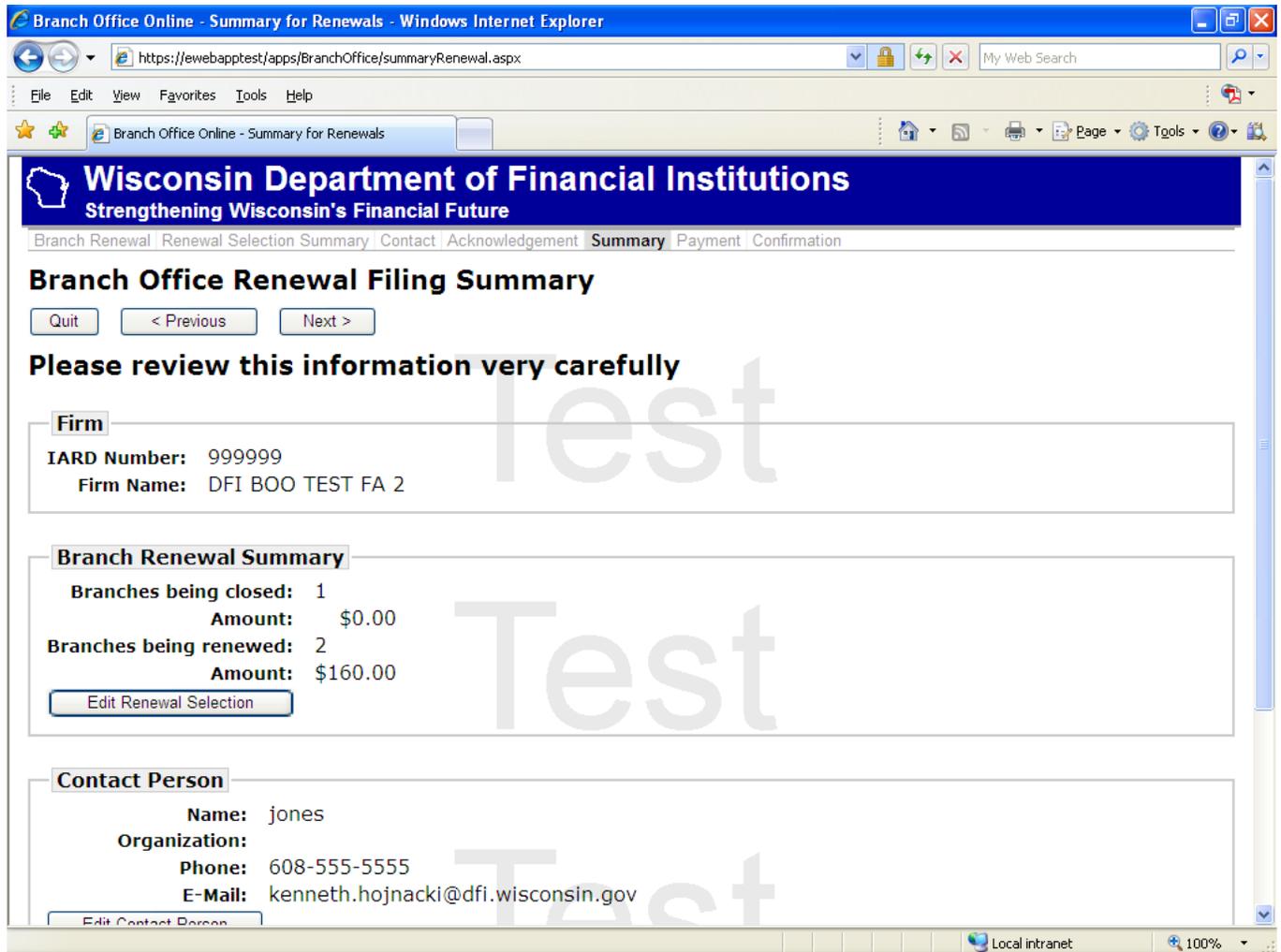
CRD	Address	Address Line 2	City	Zip	Registered Date
	123 MAIN ST		APPLETON	54952	08/10/2010
	456 SOUTH ST		MONROE	53721	08/02/2010

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

The Branch Office Renewal Confirmation screen will advise that your filing was completed and show the branches closed and renewed.

If the renewal has not been filed by December 1st or any of the branches were closed more the 14 days prior to the renewal filing, Division staff will review the renewal and notify the firm of any late filing fees due or waived.

Pressing NEXT will take you to Renewal Filing Summary page that will list the total number of branches renewed and closed and the total amount of renewal fees due, along with the Contact and Acknowledgement information. If you need to change any of this information, press the Edit button in the appropriate section.



Pressing NEXT will then take to the payment screen where you choose your payment method, e-check or credit card. Follow the instructions with each type of payment.

DFI Payment Details

Fee Details

Type	Price
Branch Office Renewal Filing	\$160.00

Payment Details

Payment Type: Visa
 MasterCard
 American Express
 E-Check [What is an E-Check?](#)

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.

Help

1. Please confirm that the purchased item and fee are correct. If the information is not correct, you can click the Back button at the bottom of the page to return to the product selection pages.

2. Select your payment type.

If you select E-Check, you will be taken to the E-Check payment page.

[What is an E-Check?](#)

3. For Visa, MasterCard and American Express, enter the requested payment information on this page.

4. Click the Submit Payment button. This action will process your payment and submit your filing.

At any time, you can click the Back button to return to the product selection pages.

Security and Privacy

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

Please note: Credit card payments are allowed up to \$5,000.00. Payments greater than \$5,000.00 should be paid by E-check. If paying by E-check be aware that your Bank Account Fraud Protection must be configured to allow DFI e-payments. If you have any type of ACH Fraud Control for Debits set up on your bank accounts, please contact your bank to ensure that they have the correct ACH Company ID so that your payment can be properly debited from your account.

The ACH Company ID to use: G396006488

The Company Name is: State of Wisconsin Dept of Financial Institutions

If you open a new branch office between the beginning of the renewal period and November 30th, the renewal fee will automatically be charged at that time. When your new branch filing is completed, your Shopping Cart will reflect both the initial and renewal payment as shown below.

Wisconsin Department of Financial Institutions
Strengthening Wisconsin's Financial Future

Your Shopping Cart

[Proceed to Checkout >](#)

Reminder: Branch office filings must be paid for by the end of each day. Shopping carts are emptied nightly.

If all of these items are correct and your order is complete, press the Proceed to Checkout button. To see the details of a filing, click on the link in the Name column.

[File Another New Branch Office](#)

Order Details				
Type	Name	Status	Price	Remove
Branch Office Initial Filing	Branch Office Initial Filing with Renewal; CRD# 987654		\$160.00	Remove
			Total Price: \$160.00	

What Next?

- [File Another New Branch Office](#)
- [Return to Branch Office Home Page](#)
- [Printer Friendly for All Branch Office Filings](#)

New branches filed in this manner will show as RENEWED on the Renewal Branch Selection list in place of the check box.

Branch Office Online - Branch Renewal Selection - Windows Internet Explorer

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

File Edit View Favorites Tools Help

Branch Office Online - Branch Renewal Selection

On this page, make sure all the branches you wish to renew for the next calendar year have the box in the 'Renew' column checked. If not renewing a branch, uncheck the box for that branch, and enter the Closure Date of that branch.

Note that if a branch was closed more than 14 calendar days ago, DFI may assess a late filing fee. If a late fee is assessed, you will be notified via email, and you will have the option to appeal the late fee.

Also, you may enter a future branch closure date, if that date is on or before December 31st.

If you have any questions please call 608-266-8279.

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

Branch List

Select All Deselect All

CRD	Address	Address Line 2	City	Zip	Registered Date	Renew	Closure Date (mm/dd/yyyy)
	4987 WALNUT LN	DKEN DNSLKD	NEW BERLIN	53268	09/01/2010	<input checked="" type="checkbox"/>	<input type="text"/>
	6218 CANADIAN NATIONAL WAY		ONTARIO	54621	08/30/2010	<input checked="" type="checkbox"/>	<input type="text"/>
	8165 W NORTH ST SE STE 302	PO BOX 283	WARSAW	54285	08/05/2010	<input checked="" type="checkbox"/>	<input type="text"/>
987654	4567 CAYUGA ST	STE 201	FROG STATION	53842	08/02/2010	Renewed	

Quit Next >

Local intranet 100%