WISCONSIN BRANCH OFFICE ONLINE FILING APPLICATION—ADDRESS CHANGE

Go to the DFI website Branch Office Online Filing page:

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

Sign into the Branch Office Online account you previously set up. Then choose the Address Change for Existing Branch link.

The Firm Selection for Amendment 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 from the Choose IARD# dropdown 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 next screen is the Branch Selection for Amendment screen where you enter the branch CRD number if there is one or the city. This will bring up a list of either the branch with the CRD number entered or all branches in the city entered.

The next 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 listed in the CRD column at left. At least one button will have a green dot in the center when you log in. You can only amend one branch at a time by pressing the button under Select for the branch you are amending. Then press NEXT.

The next screen will show the current address of the selected branch and ask you for the effective date of the amendment. When you have entered the date, press NEXT.
This screen will ask you to enter the new address for the branch. You must enter the new street, city and zip code even if one or more of these fields has not changed. Red dots indicate fields that must be completed or an error message will appear after hitting the NEXT button. When all new information has been entered, press NEXT.

If you have created a BOO account, 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. Otherwise, enter the contact information as indicated. Note the example of the error message in red at the top indicating items that need to be corrected before you can advance.
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.
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 to be changed. If all the information is correct, press NEXT.
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 amendment filings, there are no charges listed if the filing was made within 14 days of the effective date of the change. An email in the following format will be sent to the Contact person.

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Message

Sent: Mon 4/8/2012 5:10 PM
From: DFIAppTests@Wisconsin.gov
To: Hopn, Kenneth L - DFI
Cc: 
Subject: Branch Office Filing has been Received

Please do not reply to this email.

We have received the Amendment Branch Office Filing request for:

NAME: CFI BOO TEST FA 1
JARO #: 999998
BRANCH CRD NO: 00000000
DATE EFFECTIVE: 4/5/2012
EFFECTIVE THROUGH: Not Applicable
ADDRESS:
4303 Changing Way
APPLETON, WI 54922-0000
DATE RECEIVED: 4/9/2012
TOTAL FEE: $0.00 (Filing Fee) = $0.00 (Total Fee) TRANSACTION #: No Charge LATE FEE ASSESSED: No

You will receive an e-mail regarding the filing once the review is complete.

Retain and/or print this email for your records.

To view and print this filing, please go to the link below:
http://WebAsgTest/Mth ml?ML=128&JARO=19999239&finter=
Wisconsin Department of Financial Institutions http://W ebAsgTest:
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If the filing is more than 14 days after the effective date, the filing will be subject to a late filing fee.
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.