

**STATE OF WISCONSIN
DEPARTMENT OF FINANCIAL INSTITUTIONS**

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Division of Securities



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Wisconsin Broker-Dealer Activity of Applicant

Pursuant to [Wis. Stat. s. 551.401\(1\)](#), it is unlawful for any person to transact business in Wisconsin as a broker-dealer unless so registered under [Wis. Stat. Ch. 551](#), except that a person who effects transactions in this state exclusively for the account of or exclusively in offers to sell or sales as specified in [Wis. Stat. s. 551.401\(2\)](#) and (4), or [Wis. Admin. Code s. DFI-Sec 4.10\(1\)](#), is not required to be so registered.

Transacting business includes effecting or attempting to effect transactions in securities and/or soliciting any person in the state to become a customer of the broker-dealer.

The fact that a person may have transacted business as a broker-dealer in Wisconsin in violation of [Wis. Stat. s. 551.401\(1\)](#), does not mean that a person's Wisconsin registration application will automatically be denied.

As part of the Wisconsin broker-dealer registration application, the applicant must respond as to whether the applicant has engaged in broker-dealer business in Wisconsin without being properly registered. To facilitate your response, please complete the questionnaire below and return the completed form to the division.

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NO, this applicant is not now transacting and has never transacted broker-dealer business in Wisconsin.

☐

YES, this applicant has transacted broker-dealer business in Wisconsin prior to this application. ***The applicant agrees to stop transacting such business immediately, until properly registered.***

If yes, list all transactions effected in Wisconsin:

Name & Address of Customer	Date of Transaction	Description of Transaction	Date of Client Agreement	Name of Agent	Total Commissions Charged
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(Attach additional pages if space provided is insufficient.)

Name of Applicant: _____

Firm's Authorized Signatory: _____

Date: _____

Firm CRD Number: _____

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