

## Branch Office Notice Filings

Effective October 1, 2013, the Division of Securities ("Division") will transition from branch office registrations to branch office notice filings. Pursuant to Chapter 517.1202, Florida Statutes, a notice filing will be effective upon receipt of the Form BR and filing fee. There will be no waiting for approval from the Division for the branch to become operational. All FINRA member broker dealers and all investment advisers will continue to file the Form BR and fee through the CRD/IARD system. All non-FINRA member broker dealers and all issuer dealers will continue to file the Form BR and fee through the Office of Financial Regulation's REAL system. Firms must be registered with the Division prior to branch office notification filings. Branches filed with the Division will reflect a status of "OPEN" in the CRD/IARD and REAL systems. The Division will conduct a review of the filing and notify the firm of any deficiencies that should be corrected.

Please note that all branch office applications submitted **prior** to October 1 remain subject to the registration process regardless of the status reflected on the CRD/IARD system. The Division will notify the firm of any deficiencies with the branch application. However, the branch office will be operational only after approval by the Division.