



Franchising
Building local businesses,
one opportunity at a time.

Companion Guide to: Understanding the State Franchise Registration Network



These materials supplement:

**BASICS TRACK- REGISTRATION:
UNDERSTANDING THE STATE FRANCHISE REGISTRATION NETWORK**

Presented by:

**Dale Cantone, Deputy Securities Commissioner, Maryland Securities Commission
Chair, Franchise and Business Opportunities Project Group, NASAA
(dcantone@oag.state.md.us)**

Cheryl Mullin, Mullin Law, P.C. (cheryl.mullin@mullinlawpc.com)

Alan R. Greenfield, Greenberg Traurig, LLP (greenfieldalan@gtlaw.com)

Janaki Parmar, Fisher Zucker, LLC (jparmar@fisherzucker.com)

at the IFA Legal Symposium (May 21, 2012)

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CALIFORNIA
Department of Business Oversight
Business Services and Consumer and Investor Protection
www.dbo.ca.gov/About/Contact.asp

FILING FACTS: Over the past three years, California received on average 1,779 franchise registration applications, consisting of initial applications, renewals, and amendment filings, all of which required a comprehensive review.

California does not permit publication of direct contact information. All inquiries (except comment letter responses) must be directed to Duty Counsel.

Offices	Staff Members
Los Angeles 320 West 4th Street, Suite 750 Los Angeles, California 90013	Duty Counsel 213- 576-7500 866-275-2677
Sacramento 1515 K. Street, Suite 200 Sacramento, CA 95814-4052	Duty Counsel 916-445-7205 866-275-2677
San Francisco One Sansome Street, Suite 600 San Francisco, CA 94104-4428	Duty Counsel 415-972-8559 866-275-2677
San Diego 1350 Front Street, Room 2034 San Diego, CA 92101-3697	Duty Counsel 619-525-4233 866-275-2677

California Filing Requirement Materials ¹	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		X
One clean copy of Franchise Disclosure Document and one CD-ROM copy of the Franchise Disclosure Document	X		X
One redline copy of Franchise Disclosure Document and one CD-ROM redline copy of the Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ²	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
Two copies of advertising materials, if applicable	X	X	X
Notice of Exemption for Internet Advertising	X		X
Customer Authorization of Disclosure of Financial Records	X		X
State Filing Fee Payable To: Department of Corporations	\$675	\$50	\$450

Note 1: The application must include two CD-ROMs – one with a copy of the Cover Letter and all application materials, and the other with a copy of each Franchise Seller Disclosure Form and a copy of the Customer Authorization of Disclosure of Financial Records.

Note 2: With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

FLORIDA
Department of Agriculture & Consumer Services
Division of Consumer Services
www.800helpfla.com/contactus.html

Office	Staff Members
2005 Apalachee Parkway Tallahassee, FL 32399-6500 800-435-7352	Suzanne Brunarski Compliance Officer L2 850-410-3767 Suzanne.brunarski@freshfromflorida.com Diana D. James Regulatory Program Administrator 850-410-3776 Diana.james@freshfromflorida.com Marcus Smith 850-410-3714 Marcus.Smith@freshfromflorida.com

Florida Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal
Cover Letter	X		X
Two copies Franchise Exemption Application	X		X
Self-addressed stamped return envelope	X		X
State Filing Fee Payable To: Department of Agriculture and Consumer Services	\$100		\$100

Note 1: Florida does not require a pre or post amendment filing.

HAWAII
Business Registration Division
Department of Commerce and Consumer Affairs
www.hawaii.gov/dcca/sec/contact

FILING FACTS: Hawaii receives on average 1,000 to 1,100 franchise registration applications per year, consisting of initial applications, renewals, and amendment filings.

Hawaii does not permit publication of direct contact information.

Office	Staff Members
King Kalakaua Building 335 Merchant Street, Room 205 Honolulu, HI 96813 808-586-2722	Brian Kishaba, Securities Examiner Kelley Nakagawa, Securities Examiner Todd Okuda, Securities Examiner Stephen Okumura, Securities Examiner J. David Sonoda, Securities Examiner Blake Yoshimura, Securities Examiner

Hawaii Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		X
One clean copy of Franchise Disclosure Document	X	X	X
One redline copy of Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ¹	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
State Filing Fee Payable To: Commissioner of Securities	\$125	\$125	\$125

Note 1: With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

ILLINOIS
Office of the Attorney General
www.illinoisattorneygeneral.gov/consumers/franchise.html

FILING FACTS: Illinois receives on average 1,200 franchise registration applications each year. Approximately 350-400 of the filings are initial franchise applications or late renewals, which require a comprehensive review.

Office	Staff Members
500 South Second Street Springfield, IL 62706 217-782-1090	Cassandra L. Karimi, Franchise Bureau Chief 217-782-4465 ckarimi@atg.state.il.us Anne Connelly, Franchise Examiner 217-782-4465 aspooner@atg.state.il.us Herb Harston, Franchise Examiner 217-782-4465 hharston@atg.state.il.us Jamie Bundy, Franchise Examiner 217-782-4465 jbundy@atg.state.il.us

Illinois Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page ¹	X	X	X
Uniform Franchise Consent to Service of Process	X		X
Two clean copies of Franchise Disclosure Document ²	X		
One clean copy of Franchise Disclosure Document		X ³	X
One redline copy of Franchise Disclosure Document		X ³	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ⁴	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
State Filing Fee Payable To: State of Illinois	\$500	\$100 ⁵	\$100

Note 1: The State of Illinois will accept a non-notarized certification attached to the Registration Application Page.

Note 2: While the Illinois Franchise Disclosure Act Section 200.600 stipulates that you should submit two original sets of the FDD, the Rule is currently being revised to require a single original of the FDD. Therefore the State of Illinois will accept a single original at this time.

Note 3: The State of Illinois does not accept pre-effective amendments. With regard to a post-effective amendment, you may submit copies of only the clean and redlined pages, unless the changes effect the pagination of the prior document, if so, you must then submit one copy of each redlined page and one complete clean copy of the amended FDD.

Note 4: With regard to a post-effective amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application. The State of Illinois also requires a Franchise Seller Disclosure Form for any franchise broker involved with the sale of the franchise program.

Note 5: Immaterial amended changes to the disclosure document are not required to be filed with the State of Illinois. Should you elect to file immaterial amended changes the fee is \$25.

INDIANA
Secretary of State
Securities Division
www.in.gov/sos/securities/2367.htm

Office	Staff Members
Indiana Government Center South 302 West Washington Road Room E-111 Indianapolis, IN 46204	Jeneane Rupenthal, Compliance Officer 317-232-6681 rjrupenthal@sos.in.gov

Indiana Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal
Cover Letter	X		X
Uniform Franchise Registration Application	X		X
Certification Page	X		X
Uniform Franchise Consent to Service of Process	X		
One CD-ROM clean copy of Franchise Disclosure Document	X		X
One CD-ROM redline copy of Franchise Disclosure Document			
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form (must be submitted on CD-ROM only)	X		X
Auditor's Consent	X		X
State Filing Fee Payable To: Department of Corporations	\$500		\$250

Note 1: Indiana is a notification state and the FDD is effective upon receipt. Indiana does not require a pre or post amendment filing.

KENTUCKY
Office of the Attorney General
Consumer Protection Division
www.ag.ky.gov/contact.htm

Office	Staff Members
1024 Capital Center Drive Frankford, KY 40601-8204 502-696-5300	Clerk

Kentucky Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal ¹
Cover Letter	X		
Two copies of the Affidavit of Business Opportunity Exemption	X		
One clean copy of the Franchise Disclosure Document	X		
Self-addressed stamped return envelope	X		
State Filing Fee Payable To:	Not Applicable		

Note 1: Kentucky is a one-time filing state.

MARYLAND
Office of the Attorney General
Securities Division
www.oag.state.md.us/Securities/index.htm

FILING FACTS: In 2011, Maryland received 1,450 franchise registration applications, consisting of initial applications, renewals and pre- and post effective amendments, all of which required a comprehensive review. On average Maryland receives 1,200 franchise registration applications each year. It also receives approximately 240-250 exemption filings each year. Initial applications are divided between two full-time Franchise Examiners and two part-time Franchise Examiners. Ongoing amendments and renewals are reviewed by the Franchise Examiner who was responsible for the initial application. In addition, Franchise Examiners review proposed advertising and marketing materials for compliance prior to publication.

Office	Staff Members
200 Saint Paul Place Baltimore, MD 21202-2020 410-576-6360	Dale Cantone, Assistant Attorney General 410-576-6368 dcantone@oag.state.md.us Patricia McKenna, Division Accountant 410-576-7039 pmckenna@oag.state.md.us Peggy D. Shanks, Senior Franchise Examiner 410-576-7044 pshanks@oag.state.md.us Debra Luiza-Lee, Accountant 410-576-6951 dluizalee@oag.state.md.us Anastasia Niehenke, Franchise Examiner 410-576-6367 aniehenke@oag.state.md.us Brenda Crouse, Franchise Registration Assistant 410-576-7786 bcrouse@oag.state.md.us

Maryland Filing Requirement Materials ¹	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		X
One clean copy of Franchise Disclosure Document	X	X	X
One redline copy of Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ²	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
One copy of advertising materials, if applicable	X	X	X
State Filing Fee Payable To: Maryland Office of Attorney General	\$500	\$100	\$250

Note 1: Maryland requires that all materials submitted in hard copy must also be submitted on CD-ROM. Maryland also requires each franchisor to submit a Quarterly Franchise Sales Report. The report is due every ninety days using the effective date of the registration as the beginning of the first reporting period.

Note 2: With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

MICHIGAN
Department of Attorney General
Consumer Protection Division
Franchise Section
www.michigan.gov/ag

Office	Staff Members
G. Mennen Williams Building, 1 st Floor Attn: Franchise Section 525 W. Ottawa Street Lansing, Michigan 48913 517-373-7117	Clerk

Michigan Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal
Two copies of a cover letter which includes the following information: a) Notice of intent to sell along with a brief description of the franchise business; b) The name of the Franchisor; c) The trade name that the Franchisor intends to do business as; and d) The Franchisor's principal business address	X		X
Self-addressed stamped return envelope	X		X
State Filing Fee Payable To: State of Michigan	\$250		\$250

Note 1: Michigan is a notification state and the FDD is effective upon receipt. Michigan does not require a pre or post amendment filing.

MINNESOTA
Department of Commerce
<http://mn.gov/commerce/licenses/Register-a-Security/Reg-Look-Up.jsp>

FILING FACTS: Minnesota receives on average 1,215 franchise registration applications per year consisting of initial filings and Annual Reports. In addition, each pre and post effective amendment submitted to the State requires a comprehensive review. Franchise Examiners also review proposed advertising and marketing materials for compliance prior to publication.

Office	Staff Members
Minnesota Department of Commerce 85 7 th Place East, Suite 500 St. Paul, MN 55101-2198 651-296-4973	Daniel E. Sexton State Program Administrative Director, Securities Insurance Product Filing & Securities Registration Market Assurance Division 651-296-2540 dan.sexton@state.mn.us Bette Peterson, Commerce Analyst 1 651-539-1627 bette.peterson@state.mn.us

Minnesota Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		X
One clean copy of Franchise Disclosure Document	X		
One redline copy of Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ¹	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
One copy of advertising materials, if applicable [All advertising must contain Minnesota File Number]	X	X	X
State Filing Fee Payable To: Minnesota Department of Commerce	\$400	\$100	\$200 ²

Note 1: With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

Note 2: Based on the sole discretion of the state examiner, if the examiner believes the revised Franchise Disclosure Document contains any material change, the state requires an additional \$100 filing fee.

NEBRASKA
Department of Banking and Finance
Bureau of Securities/Financial Institutions Division
www.ndbf.ne.gov/about/contactus.shtml

Office	Staff Members
Commerce Court 1526 K Street, Suite 300 Lincoln, NE 68508-2732 402-471-3445 402-471-2171	Clerk

Nebraska Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal ¹
Cover Letter	X		
Two copies of the Notice of Claim of Exemption	X		
Self-addressed stamped return envelope	X		
State Filing Fee Payable To: State of Nebraska	\$100		

Note 1: Nebraska is a one-time filing state.

NEW YORK
OFFICE OF THE ATTORNEY GENERAL
Division of Economic Justice
Investor Protection Bureau
www.ag.ny.gov/investor-protection/contact

Office	Staff Members
120 Broadway New York, NY 10271 212-416-8222	Barbara Lasoff, Franchise Section 212-416-8236 Alicia Brown, Franchise Section 212-416-8637

New York Filing Requirement Materials ¹	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		
One clean copy of Franchise Disclosure Document and one CD-ROM copy of the Franchise Disclosure Document	X		
One clean copy and of Franchise Disclosure Document		X	X
One redline of Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Forms ²	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Two copies of advertising materials, if applicable	X	X	X
State Filing Fee Payable To: New York State Department of Law	\$750	\$150	\$150

Note 1: New York requires the separate registration of any third party franchise broker involved with the sale of the franchise.

Note 2: With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

NORTH DAKOTA
North Dakota Securities Department
www.ndsecurities.com/contact-us.asp

FILING FACTS: North Dakota receives on average 960 franchise registration applications each year, consisting of initial franchise registration applications, renewals, and amendments. All applications and filings are reviewed by single Franchise Examiner. In addition, the Franchise Examiner reviews proposed advertising and marketing materials for compliance prior to publication.

Office	Staff Members
North Dakota Securities Department 600 East Boulevard Avenue State Capitol – 5 th Floor Dept. 414 Bismarck, ND 58505-0510 701-328-2910 800-297-5124	Diane Lillis, Examiner/Budget Administrator 701-328-4712 dlillis@nd.gov

North Dakota Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		
One CD-ROM clean copy of Franchise Disclosure Document ¹	X	X	X
One CD-ROM redline copy of Franchise Disclosure Document ¹		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ²	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
One copy of advertising materials, if applicable	X	X	X
State Filing Fee Payable To: N. Dakota State Securities Commissioner	\$250	\$50	\$100

Note 1: The State will accept an unbound hard copy in lieu of a CD-ROM copy.

Note 2: With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

RHODE ISLAND
Department of Business Regulation
Securities Division
www.dbr.ri.gov/contact

FILING FACTS: Rhode Island receives on average 1,100 franchise registration applications, consisting of initial franchise applications, renewals, and amendment filings, all of which require a comprehensive review. In addition, Franchise Examiners review proposed advertising and marketing materials for compliance prior to publication.

Office	Staff Members
John O. Pastore Complex 1511 Pontiac Avenue, Building 69-1 Cranston, RI 02920 401-462-9527	Dennis Murray, Chief Securities Examiner 401-462-9584 dmurray@dbr.ri.gov Joanna Sullivan, Principal Securities Examiner IA/BD, Franchises 401-462-9587 jsullivan@dbr.ri.gov George Wesolowski, Securities Examiner IA/BD, Franchises, Securities Registration 401-462-9588 george_wesolowski@dbr.ri.gov Alice Mildner, Securities Examiner Charities 401-462-9583 DLLSC@dbr.ri.gov William J. Hawkins, III, Securities Examiner 401-462-9582 William.hawkins@dbr.ri.gov

Rhode Island Filing Requirement Materials ¹	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		X
One clean copy of Franchise Disclosure Document	X	X	X
One redline copy of Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ²	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
One copy of advertising materials, if applicable, plus a \$10 fee for each piece submitted	X	X	X
State Filing Fee Payable To: General Treasurer of Rhode Island	\$600	\$120	\$300

Note 1: **All** materials must be submitted on CD-ROM or you may file on-line at <https://licensing.ri.gov>. The only hard materials submitted are the cover letter and check.

Note 2 With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

SOUTH DAKOTA
Department of Labor and Regulation
Division of Securities
www.state.sd.us/securities

FILING FACTS: South Dakota receives on average 600-700 franchise registration applications each year. All applications and filings are reviewed by single Franchise Examiner.

Office	Staff Members
445 East Capitol Avenue Pierre, South Dakota 57301-3185 605-773-4823	Melita Hauge Program Assistant South Dakota Division of Securities 605-773-4823 Melita.Hauge@state.sd.us

South Dakota Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal
Cover Letter	X		X
South Dakota Franchise Notice Filing Application Form ²	X		X
Uniform Franchise Consent to Service of Process	X		X
One CD-ROM clean copy of Franchise Disclosure Document	X		X
Guaranty of Performance, if applicable	X		X
State Filing Fee Payable To: South Dakota Securities Division	\$250		\$150

Note 1: South Dakota is a notification state and the FDD is effective upon receipt. South Dakota does not require a pre or post amendment filing.

Note 2: You must submit the specific South Dakota Franchise Notice Filing Application Form in lieu of the Uniform Franchise Application Page and Certification.

TEXAS
Secretary of State
Statutory Documents Section
www.sos.state.tx.us/statdoc/contact.shtml

Office	Staff Members
1019 Brazos Street Austin, TX 78711 512-475-0779	Clerk

Texas Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal ¹
Cover Letter	X		
Two copies of the Business Opportunity Exemption Notice	X		
Self-addressed stamped return envelope	X		
State Filing Fee Payable To: Secretary of State	\$25		

Note 1: Texas is a one-time filing state.

UTAH
Department of Commerce
Division of Consumer Protection
www.commerce.state.ut.us

Office	Staff Members
160 East 300 South Salt Lake City, UT 84111 801-530-6601 800-721-7233	Clerk

Utah Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment ¹	Annual Renewal
Cover Letter	X		X
Two copies of the Notice of Exemption	X		X
Self-addressed stamped return envelope	X		X
State Filing Fee Payable To: State of Utah	\$100		\$100

Note 1: Utah does not require a pre or post amendment filing.

VIRGINIA
Commonwealth of Virginia
State Corporation Commission
Division of Securities and Retail Franchising
www.scc.virginia.gov/contact.aspx

Statistics: Virginia receives on average 1,800 franchise registration applications, consisting of initial franchise registration applications, renewals, and amendment filings. Each Franchise Examiner typically reviews approximately 300 franchise filings each year.

Office	Staff Members
Tyler Building 1300 E. Main Street, 9 th Floor Richmond, VA 23219 804-371-9051	Tim O'Brien, Chief Examiner 804-371-9415 tim.obrien@scc.virginia.gov Jude C. Richnafsky, Senior Examiner 804-371-9883 jude.richnafsky@scc.virginia.gov John Parthum, Senior Examiner 804-371-2371 john.parthum@scc.virginia.gov Griffin C. McGuire, Senior Examiner 804-371-9319 griffin.mcguire@scc.virginia.gov Sharon Smith, Examiner 804-371-9414 sharon.smith@scc.virginia.gov Denise A. Williams, Examiner 804-371-9468 denise.williams@scc.virginia.gov Amanda O. Blanks, Examiner 804-371-9088 amanda.blanks@scc.virginia.gov Patricia Duvall, Office Technician Supervisor 804-371-9276 patricia.dalton@scc.virginia.gov

Virginia Filing Requirement Materials	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		
One clean copy of Franchise Disclosure Document	X	X	X
One redline copy of Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
State Filing Fee Payable To: Treasurer of Virginia	\$500	\$100	\$250

WASHINGTON
Department of Financial Institutions
Securities Division
<http://dfi.wa.gov/about/staffcontacts.htm>

FILING FACTS: In 2011, Washington received 1,301 franchise application registrations, consisting of initial franchise registration applications, renewals, and amendment filings. In addition, Franchise Examiners review proposed advertising and marketing materials for compliance prior to publication.

Office	Staff Members
150 Israel Road SW Tumwater, WA 98501 360-902-8760	Jill Vallely, Staff Attorney 360-902-8801 jvallely@dfi.wa.gov Dan Matthews, Staff Attorney 360-902-8785 dmatthews@dfi.wa.gov Michelle Webster, Staff Attorney 360-902-8736 mwebster@dfi.wa.gov Jordan Rood, Staff Attorney 360-902-8797 jrood@dfi.wa.gov Cheryl Pearson, Customer Service Specialist 360-902-8762 cpearson@dfi.wa.gov

Washington Filing Requirement Materials¹	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Cover Letter	X	X	X
Uniform Franchise Registration Application	X	X	X
Certification Page	X	X	X
Uniform Franchise Consent to Service of Process	X		
One clean copy of Franchise Disclosure Document	X	X	X
One redline copy of Franchise Disclosure Document		X	X
Guaranty of Performance, if applicable	X		X
Franchise Seller Disclosure Form ²	X	X	X
Franchisor's Costs and Sources of Funds	X		X
Auditor's Consent	X		X
One copy of advertising materials, if applicable	X	X	X
State Filing Fee Payable To: Washington State Treasurer	\$600	\$100	\$100

Note 1: Washington requires the separate registration of any third party franchise broker involved with the sale of the franchise.

Note 2: With regard to a pre or post amendment, you should only submit any new or revised Franchise Seller Disclosure Form that differs from the prior application.

WISCONSIN
Department of Financial Institutions
Division of Securities
<https://www.wdfi.org/apps/franchiseefiling/>

Office	Staff Members
345 W. Washington Avenue, 4 th Floor Madison, Wisconsin 53703 508-266-8557	Mary Wells 608-266-8557 mary.wells@dfi.state.wi.us

Wisconsin Filing Requirement Materials ¹	Initial Registration	Pre or Post Effective Amendment	Annual Renewal
Online Website Application Effective Upon Receipt	X	X	X
One clean copy of Franchise Disclosure Document (downloaded to website)	X	X	X
State Filing Fee Payable To: WI Dept of Financial Inst (must be paid by credit card online)	\$400	\$200	\$400

Note 1: Registration with the State of Wisconsin is done online via the noted website above.