

HAWAII FRANCHISE FILING:

Helpful Tips for Completing an Accurate and Timely Filing

The Securities Compliance Branch offers the following tips to help you avoid common deficiencies that can delay the processing of your Hawaii franchise filing.

First, be sure to upload all required filing materials together, based on the form category (i.e., new, renew, or amended), then pay the associated filing fee via the [Securities Online Portal](#).

Documents:

1. **Form A** (Application & Certification):

-Ensure that all information provided is correct, accurate, and consistent with the circular/FDD.

-Service of process information:

Hawaii Commissioner of Securities

State of Hawaii, Dept. of Commerce & Consumer Affairs

Business Registration Division - Securities Compliance Branch

335 Merchant St, Room 203, Honolulu, Hawaii 96813

Phone: (808) 586-2722

2. **Form B** (Cost and Source of Funds): Double check your calculations and totals.

3. **Form C** (Consent to Service of Process & Acknowledgement Page): This required document must be notarized by a U.S. notary.

4. **Form D** (Seller Disclosure Forms): Ensure that the seller information is correct and accurate.

5. **Form E** (Guarantee of Performance): Ensure that the correct entity name is found on the documents.

6. **Form F** (Auditor's Consent letter): 1) Ensure that the letter is signed and dated by a CPA firm qualified to perform audits; 2) Ensure that the correct financial statements are referenced in the consent of accountant letter; and 3) If the Franchisor has a Guarantor, ensure that the correct financial statements are provided and referenced in the consent of accountant letter.

7. **FDD** (Franchise Disclosure Document): All 23 items in the FDD must be correct, accurate and consistent, including Agents for Service of Process, Auditor's letter, State Administrator, Financial Statements, State Cover Page/State Effective Dates, Receipt Page, etc.

-See NASAA's [2008 Franchise Registration and Disclosure Guidelines](#) for additional information.

For more information, visit our website at investing.hawaii.gov or call the Securities Compliance Branch at (808) 586-2722. Thank you for filing with us!

To report investment fraud, call (808) 587-2267 or Toll Free 1-877-447-2267

Protecting Hawaii Investors



Hawaii Department of Commerce & Consumer Affairs

Office of the Securities Commissioner



1-877-HI SCAMS



investing.hawaii.gov



HI Securities

