

State of Washington  
Dept. of Financial Institutions  
Securities Division  
P.O. Box 41200  
Olympia, WA 98504-1200  
(360) 902-8760  
<http://dfi.wa.gov/sd>

# ANNUAL NOTICE OF CLAIM OF EXEMPTION FROM FRANCHISE REGISTRATION



Pursuant to RCW 19.100.030(4)(a), (b)(i), and (c)  
and WAC 460-80-100

## **Item 1. Filing Information**

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All notices must be filed electronically through the online filing system at <https://fortress.wa.gov/dfi/webapp/dfi/EFiling/FExemption/>.

Initial Notice

Amendment

Renewal

Re-Notification\*

File No. (for amendments, renewals, and re-notifications):

A claim of exemption is effective for a period of 12 months from the date it is declared effective. A renewal notice should be filed fourteen days prior to the expiration of the effective period.

\*Note: A re-notification is necessary when a franchisor previously submitted a notice of claim of exemption, but the claim of exemption is no longer effective at the time a subsequent notice is submitted.

## **Item 2. Identification of Franchisor and Offering**

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Name of Franchisor

State of Incorporation/Organization

Prior Name(s) of Franchisor (if applicable)

Name of Franchise Offering

Name of Subfranchisor(s) Operating in Washington (if applicable)\*

\*Note: A subfranchisor cannot rely on a franchisor's exemption from franchise registration. A subfranchisor must either register its offering or separately qualify for an exemption.

## **Item 3. Principal Place of Business of Franchisor**

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Street Address Line 1

Street Address Line 2

City

State/Province/Country

ZIP/Postal Code

## **Item 4. Contact Person**

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Directions: Please provide the following information for the person to contact with questions about this filing.

Name of Contact Person

Name of Firm

Phone

E-mail

Street Address Line 1

Street Address Line 2

City

State/Province/Country

ZIP/Postal Code

## Item 5. Signature and Submission

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By filing this notice pursuant to RCW 19.100.030(4)(a), (b)(i), and (c) and WAC 460-80-100, the filer hereby represents:

1. The franchisor shall provide prospective purchasers in Washington an offering circular, that complies with the 2008 Franchise Registration and Disclosure Guidelines promulgated by the North American Securities Administrators Association, Inc., at least 14 calendar days prior to the signing of an agreement or receipt of consideration. *See* WAC 460-80-315.
2. The minimum initial investment by the franchisee is more than \$100,000.
3. The franchisor has not been found by a court of competent jurisdiction to have been in violation of chapter 19.100 RCW, chapter 19.86 RCW, or any of the various federal statutes dealing with the same or similar matters, within seven years of any sale or offer to sell a franchise business.
4. The franchisor meets the exemption's net worth requirement (check the applicable box):

The franchisor has a net worth on a consolidated basis, according to its most recent audited financial statement, of not less than \$5,000,000; or

The franchisor has a net worth of \$1,000,000 according to its most recent audited financial statement and is at least 80% owned by a corporation which has a net worth on a consolidated basis, according to its most recent audited financial statement, of not less than \$5,000,000.

5. The franchisor meets the exemption's experience requirement (check the applicable box):

The franchisor has had at least 25 franchisees conducting business at all times during the five year period immediately preceding the offer or sale; or

The franchisor has conducted business which is the subject of the franchise continuously for not less than five years preceding the offer or sale; or

The franchisor is owned 80% or more by a corporation which has had at least 25 franchisees conducting business continuously for not less than five years immediately preceding the offer or sale; or

The franchisor is owned 80% or more by a corporation which has conducted business which is the subject of the franchise continuously for not less than five years preceding the offer or sale.

6. The franchisor's most recent audited financial statements (and those of the franchisor's parent if the parent's net worth is being relied upon to qualify for the exemption) are attached. **DO NOT** attach a copy of the disclosure document or agreements unless requested to do so.
7. If this is an initial notice filing, renewal, or re-notification, the filing fee of \$100 accompanies this notice (no fee required for amendment notices). This fee shall be paid through the Division's online franchise filing system. Amendments can be emailed to [franchisefilings@dfi.wa.gov](mailto:franchisefilings@dfi.wa.gov).

The franchisor has read this notice, knows the contents to be true, and has duly caused this notice to be signed its behalf by the undersigned duly authorized person.

Signature

Name of Signer (Print)

Title

Date

Contact DFI's Accessibility Coordinator at [accessibility@dfi.wa.gov](mailto:accessibility@dfi.wa.gov) or (360) 902-0506 to obtain this document in an alternative format.