



**STATE OF MAINE**  
**DEPARTMENT OF PROFESSIONAL**  
**AND FINANCIAL REGULATION**  
**OFFICE OF PROFESSIONAL AND OCCUPATIONAL REGULATION**  
**COMPANY APPLICATION**

APPLICANT INFORMATION (please print)

FULL LEGAL NAME

FEIN OR SSN

PHYSICAL ADDRESS

CITY

STATE

ZIP

COUNTY

MAILING ADDRESS

CITY

STATE

ZIP

COUNTY

PHONE # ( )

FAX # ( )

E-MAIL

By my signature, I hereby certify that the information provided on this application is true and accurate to the best of my knowledge and belief. By submitting this application, I affirm that the Office of Professional and Occupational Regulation will rely upon this information for issuance of my license and that this information is truthful and factual. I also understand that sanctions may be imposed including denial, fines, suspension or revocation of my license if this information is found to be false.

**SIGNATURE**

**DATE**

**Transient Sellers Program: Company Application**

**Required Fee: \$30.**



TRANSIENT SELLER - COMPANY (CO1421)

**Office Use Only:**

1421 - \$30

*Office Use Only:*

Check # \_\_\_\_\_

Amount: \_\_\_\_\_

Cash # \_\_\_\_\_

Lic. # \_\_\_\_\_

Issue Date \_\_\_\_\_

Exp. Date \_\_\_\_\_

Rev 01/25/2023

**PAYMENT OPTIONS:**

Make checks payable to "Maine State Treasurer" - If you wish to pay by Mastercard or Visa, fill out the following:

NAME OF CARDHOLDER (please print)

ADDRESS OF CARDHOLDER (please print)

I authorize the Department of Professional and Financial Regulation, Office of Professional and Occupational Regulation to charge my ☐ VISA ☐ MASTERCARD the following amount: \$ \_\_\_\_\_

Card number:

Expiration Date

**SIGNATURE**

**DATE**

### Frequently Asked Questions:

- **Where do I send my application?** Our mailing address is 35 State House Station, Augusta, Maine 04333-0035
- **Where are you located?** 76 Northern Avenue, Gardiner, Maine.
- **What hours are you open?** 8:00 AM to 5:00 PM weekdays
- **Can I come to Gardiner to drop off my application?** Yes. You will not leave with a license, though.
- **Can I come to Gardiner to pick up my license?** No. Your license will be mailed to you.
- **How long does it take to process an application?** You can check our website: [www.maine.gov/professionallicensing](http://www.maine.gov/professionallicensing). Your license will show up as PENDING at first; as soon as your status is ACTIVE you are authorized to practice.
- **How far back do I go answering the criminal question?** Any conviction, ever.

**What if I have other questions?** Visit our website at: [http://www.maine.gov/pfr/professionallicensing/professions/transient\\_sellers/](http://www.maine.gov/pfr/professionallicensing/professions/transient_sellers/) or contact the office, Tel. 207-624-8603, e-mail: [trans.sellers@maine.gov](mailto:trans.sellers@maine.gov)

### NOTICES

**BACKGROUND CHECK:** Pursuant to 5 M.R.S.A. §5301 - 5303, the State of Maine is granted the authority to take into consideration an applicant's criminal history record. The Office of Licensing and Registration requires a criminal history records check as part of the application process for all applicants.

**PUBLIC RECORD:** This application is a public record for purposes of the Maine Freedom of Access Law (1 MRSA §401 et seq). Public records must be made available to any person upon request. This application for licensure is a public record and information supplied as part of the application (other than social security number and credit card information) is public information. Other licensing records to which this information may later be transferred will also be considered public records. Names, license numbers and mailing addresses listed on or submitted as part of this application will be available to the public and may be posted on our website.

**SOCIAL SECURITY NUMBER:** The following statement is made pursuant to the Privacy Act of 1974 (§7(B)). Disclosure of your Social Security Number is mandatory. Solicitation of your Social Security Number is solely for tax administration purposes, pursuant to 35 MRSA §175 as authorized by the Tax Reform Act of 1975 (42 USC §405(C)(2)(C)(1)). Your Social Security Number will be disclosed to the State Tax Assessor or an authorized agent for use in determining filing obligations and tax liability pursuant to Title 36 of the Maine Revised Statutes. No further use will be made of your Social Security Number and it shall be treated as confidential tax information pursuant to 36 MRSA §191.

#### Before you seal the envelope, did you:

- Complete every item on the application (incomplete applications may be returned)
- Answer the criminal background disclosure questions
- Sign and date your application
- Include correct amount (payable to Maine State Treasurer) or credit card information (plus signature)
- Include any required transcripts or exam results
- Make a copy of your application to keep for your records
- DO NOT SEND CASH.

**ADDITIONAL REQUIRED INFORMATION**

1. Maine Sales Tax #: \_\_\_\_\_

2. Anticipated yearly gross revenues from sales in Maine: \$ \_\_\_\_\_

3. Product(s) to be sold:

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4. Owner(s) of Company:

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5. Names of all employee(s) including any independent contractor, agent or person working for a salary or commission . (You may use a separate sheet if necessary):

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6. Indicate the type of solicitation activity your organization will be conducting (check all that apply):

Personal contact ☐

Telephone contact ☐

Roadside contact ☐

Internet ☐

Mail contact ☐

Other ☐ Describe:

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7. Submit with the application a statement(s) of any / all judgment(s) secured or outstanding, arising out of sales to consumers during the two years prior to the date of this application. Also submit a statement(s) listing any / all suits of either a criminal or civil nature pending against the company which arise out of sales to consumers.

## REGULATIONS

***Please read the laws governing the licensure and practice of Transient Sales prior to submitting your application. These are available at the following website:***

[http://www.maine.gov/pfr/professionallicensing/professions/transient\\_sellers/](http://www.maine.gov/pfr/professionallicensing/professions/transient_sellers/)

## SCOPE

"Transient seller of consumer merchandise" or "transient seller":

- Means any person who engages in the business of selling merchandise to consumers by means of personal contact or telephone contact, whether or not the seller is present in the State at the time of the contact or the time of sale, and who does not have, for the purposes of carrying on such business, any permanent place of business within this State. "
- It does not include a person who sells at public fairs, expositions or bazaars or a member selling on behalf of public service organizations.
- It does not include a person who sells exclusively by mail contact, except for a person who offers merchandise or money prizes as free of charge, such as contest prizes or gifts for answering a survey, but who requires the recipient to pay something of value in order to participate in this offer, including, but not limited to, entrance fees, processing fees or handling charges.

## FINANCIAL PRODUCTS

Your Transient Seller license does not permit you to sell products for which product-specific licensure, registration or certification is required. If your product is a financial service (e.g., credit cards, credit monitoring service, student loan consolidation, debt management service, offer of insurance, investments, financial advice), then please contact the appropriate agency of the Maine Department of Professional & Financial Regulation for additional information:

Bureau of Consumer Credit Protection

Website: <http://www.maine.gov/pfr/consumercredit/>

Bureau of Financial Institutions

Website: <http://www.maine.gov/pfr/financialinstitutions/>

Bureau of Insurance

Website: <http://www.maine.gov/pfr/insurance/>

Office of Securities

Website: <http://www.maine.gov/pfr/securities/>

## **DISCLOSURES TO CONSUMERS**

- Every time a transient seller of consumer merchandise advertises in this State for the sale of merchandise, whether in print or electronic media, the advertisement must disclose the transient seller's license number in the following manner: "State Department of Professional and Financial Regulation Transient Seller's License Number: (Fill in number)" and must disclose the address of the seller's permanent place of business.
- Every transient seller of consumer merchandise and each of the seller's employees must have a valid license, as required by this subchapter, in the seller's or employee's immediate possession at all times when engaging in sales of consumer merchandise in this State and shall present the license for inspection upon request of any person.
- Every time a transient seller of consumer merchandise sells merchandise to a consumer in this State, the transient seller shall provide the purchaser with a written receipt, at the time of sale, disclosing the transient seller's license number in the following manner: "State Department of Professional and Financial Regulation Transient Seller's License Number: (Fill in number)" and disclosing the transient seller's name and permanent place of business.

## **BOND**

Every person that engages in the business of transient sellers of consumer merchandise, including the self-employed or those who employ one or more transient sellers of consumer merchandise, shall also make a security deposit of \$10,000 or of a sum equal to the anticipated yearly gross revenues in this State, whichever is less, with the department for the protection of consumers as described in section 14712. The security deposit may be made by a bond as drawn by the department and as secured by a surety approved by the department. Only one security deposit is required of each person engaged in transient sales of consumer merchandise.



STATE OF MAINE  
DEPARTMENT OF PROFESSIONAL  
AND FINANCIAL REGULATION  
OFFICE OF LICENSING & REGISTRATION  
REGULATION OF TRANSIENT SALES  
**TRANSIENT SELLERS OF CONSUMER MERCHANDISE**  
35 STATE HOUSE STATION  
AUGUSTA, MAINE  
04333-0035

Janet T Mills  
Governor

Joan F Cohen  
Commissioner

**SURETY BOND OF  
TRANSIENT SELLER OF CONSUMER MERCHANDISE**

**BOND EXPIRATION DATE:** APRIL 30, 20

**BOND NUMBER #:** \_\_\_\_\_

KNOW ALL PERSONS BY THESE PRESENTS that \_\_\_\_\_  
(Name of Applicant)

of \_\_\_\_\_ as principal, and \_\_\_\_\_  
(Address) (Name of Surety)

of \_\_\_\_\_  
(Address)

as surety, are held and firmly bound unto the State of Maine, as Obligee, in the sum of **Ten Thousand Dollars (\$10,000)**, to the payment of which we bind ourselves, our heirs, executors, administrators, successors, and assigns, jointly and severally.

The condition of this obligation is that if the Applicant becomes licensed as a transient seller of consumer merchandise, as described in Title 32, Chapter 128 of the Maine Revised Statutes; complies with all requirements of Title 32, Chapter 128, §14708, subsection 3; and makes full accounting and payment of all funds coming into the Applicant's possession while acting in said capacity to all persons entitled thereto; this obligation is void. Otherwise, this obligation remains in full force and effect.

This bond remains in force until the State of Maine releases the Surety from liability or until the Surety cancels the bond. The Surety may only cancel the bond upon giving 30 days advance written notice to the State of Maine and the Applicant. Any such cancellation shall be prospective only and shall not defeat the Surety's obligation to make payment for any breach of the condition of this obligation that occurs or has occurred prior to expiration of the 30-day notice period set forth in this paragraph.

Signed, sealed and dated this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

Witnessed by:

\_\_\_\_\_  
(Signature of witness)

\_\_\_\_\_  
(Signature of Applicant)

Printed name of witness:

\_\_\_\_\_  
(Surety)

SEAL

By: \_\_\_\_\_  
(Signature of authorized representative of surety)

Printed name of representative: \_\_\_\_\_



PRINTED ON RECYCLED PAPER

OFFICE PHONE: (207) 624-8624  
TTY users call Maine relay 711

OFFICES LOCATED AT: 76 NORTHERN AVENUE,  
GARDINER, MAINE

FAX: (207) 624-8637