

**STATE OF MAINE
OFFICE OF SECURITIES
121 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0121**

ORDER SUPERSEDING ORDER NO. 2020-45 REGARDING THE RESUMPTION OF ON-SITE BROKER-DEALER INSPECTIONS OF BRANCH OFFICES IN MAINE)
ORDER No. 2021-12)
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ORDER

WHEREAS, an Order Addressing Disruptions in Investment Adviser and Broker-Dealer Operations and Securities Registrations Resulting From Coronavirus, Order No. 2020-11, was issued by the Securities Administrator on March 25, 2020;

WHEREAS, an Order Extending Order No. 2020-11 Addressing Disruptions in Investment Adviser and Broker-Dealer Operations and Securities Registrations Resulting From Coronavirus, Order No. 2020-18, was issued on April 24, 2020;

WHEREAS, a second Order Extending Order No. 2020-11 Addressing Disruptions in Investment Adviser and Broker-Dealer Operations and Securities Registrations Resulting From Coronavirus, Order No. 2020-31, was issued on June 26, 2020;

WHEREAS, a third Order Extending Order No. 2020-11 Addressing Disruptions in Investment Adviser and Broker-Dealer Operations and Securities Registrations Resulting From Coronavirus, Order No. 2020-44, was issued on July 29, 2020;

WHEREAS, Order No. 2020-44 rescinded Paragraph 10 of Order No. 2020-11 suspending the on-site inspection requirement a broker-dealer is required by Rule Chapter 504 §7(4)(B) to make of its branch offices in Maine;

WHEREAS, an Order Regarding the Resumption of On-Site Broker-Dealer Inspections of Branch Offices in Maine, Order No. 2020-45, was issued on July 29, 2020;

WHEREAS, Order No. 2020-45 provided continued relief regarding on-site broker-dealer inspections;

WHEREAS, the period of suspension of on-site broker-dealer inspections under Order No. 2020-45 is set to expire on July 1, 2021;

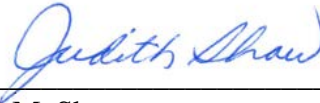
WHEREAS, the disruption to the securities industry caused by the Covid-19 pandemic is expected to continue beyond July 1, 2021, necessitating continued relief;

NOW, THEREFORE, under the authority of Sections 16406(5) and 16605 of the Maine Uniform Securities Act, it is hereby ORDERED that:

1. The annual on-site inspection a broker-dealer is required by Rule Chapter 504 §7(4)(B) to make of its branch offices in Maine is suspended until December 31, 2021.
2. Firms must conduct an on-site inspection of each branch office located in Maine before December 31, 2022, and on-site inspections must continue annually thereafter in accordance with Rule Chapter 504.
3. Firms must notify the Administrator by January 31, 2023, of the specific branches inspected, including the CRD number or CRD branch number, and the date(s) on which the 2022 on-site branch inspection(s) occurred.

This Order shall remain in effect unless and until subsequently amended, extended or rescinded.

Dated: April 26, 2021



Judith M. Shaw
Securities Administrator