Fingerprint Filing Instructions

Pursuant to Rule Chapter 515 § 4 (C), the State of Maine Office of Securities (The "Office") requires an applicant for initial licensure of an Investment Adviser representative to include a complete set of fingerprints to be sent to our Office.

All new licensee applicants are required to register online through IdentoGO. *Please see/follow instructions below, which include In State and Out of State.* The applicants must go on-line and register, pay, and schedule a date, time and place that is most convenient for them. IdentoGO will then forward the fingerprints to the State of Maine Bureau of Identification for processing.

When entering personal information, whether in State or Out of State, please **Be sure to enter in "Maine Office of Securities" under the Employer option, with the Office's correct full address, 121 State House Station, Augusta ME 04333 in order for SBI's staff to know to mail these responses and fingerprint card back to your office and not the individual.**

Go To: www.identogo.com

1. Click on "Get Fingerprinted"



2. Select State. If there is No locations found for your State, then Select Maine.



3. Select Digital Fingerprinting. (For OUT OF STATE, select "To mail in Fingerprint Cards")



4. **If Located IN STATE**: Click on **first GREEN** box to Schedule a New Appointment.

5. ****If Located Out of State**: Click on the **second GREEN** box to Register for Fingerprint Card Processing Services. NOTE: Skip the next few sections (skip 6-13) in the instructions and <u>scroll all the way down to the "Out of State"</u> section to proceed.





7. Registrant will need to click **YES** as this is the correct fingerprint type.



8. This section is to find a location near you. Once you've found a location, click Schedule on a date/City that works for you.



9. Now enter your information.

Before you click Submit, please make sure to enter Applicant Employer Information, at the bottom of the Application Information page in Section: **Applicant Employer Information** (See screen shot in #10 below)

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10. Enter information including address and contact information. *Be sure* to enter in "Maine Office of Securities" under the Employer option, with the Office's correct full address, 121 State House Station, Augusta ME 04333 in order for SBI's staff to know to mail these responses and fingerprint card back to your office and not the individual. If this is not completed, our Office will NOT receive notice and the applicant will remain in a PENDING status.

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11. Then a confirmation screen to review all their information. The opportunity to change and update personal information and appointment can be completed. If all correct, click GO.

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12. This is just a confirmation screen of how the payment will be taken (next steps). Fees are \$21 for filing fingerprints and \$25 for the vendor fee. Total of \$46.

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REFUND POLICY PRIVACY STATEMENT		017 © IDENTOGO®. ALL RIGHTS RESERVED.

13. Click on blue link to make payment. Once payment is done a confirmation screen should appear from payment processing center. If an e-mail address is given then an e-mail will be sent to the registrant on their appointment specifics. <u>Go to "FINAL</u>





7. Select Private Industry Applicants. Then click Go.

IdentoGO	
Maine	Application Details
	payment only ONCE. We are working to correct a technical issue that is indicating that an "error occurred" when the applicant submits payment, but payment has indeed processed and appointment has this error if it appears. <u>Do not</u> attempt to schedule another appointment or it will result in multiple charges. We apologize for the inconvenience and hope to have a resolution quickly.
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	below list.
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	If you have any questions with the website, please call (855) 667-7422.

8. Review then click yes.



9. Enter your information.

Before you click Submit, Please make sure to enter Applicant Employer Information, Click "Yes" at the bottom of the Application Information page in Section: **Applicant Employer Information**(See screen shot in #10 below)

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10. Enter information including address and contact information. *Be sure* to enter in "Maine Office of Securities" under the Employer option, with the Office's correct full address, 121 State House Station, Augusta ME 04333 in order for SBI's staff to know to mail these responses and fingerprint card back to your office and not the individual. If this is not completed, our Office will NOT receive notice and the applicant will remain in a PENDING status.

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If you have any questions with the website, please call (865) 667-7422.		
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11. Then a confirmation screen to review all their information. The opportunity to change and update personal information and appointment can be completed. If all correct, click GO.

12. Registration Complete page. *Please be sure to read the Reminders section on the bottom of the RC page*. Click on blue link to make payment. Once payment is done a confirmation screen should appear from payment processing center. If an e-mail address is given, then an e-mail will be sent to the registrant on their appointment specifics.



FINAL Step:

After you have completed registration and payment, if In State, you will go the scheduled site to be fingerprinted. If OOS, after you get printed, you will mail the cards using the address provided on the Registration Complete page.

Should you have any questions, please feel free to contact me at 207-624-8490 or email at <u>billie-jo.a.pyska@maine.gov</u>

Thank you

Billie-Jo Pyska