

NOTICE for Investment Adviser Representatives initial applicants, change in filing fingerprint cards:

Effective Immediately

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.

Beginning November 13, 2013 the procedure for filing the fingerprint cards has been modified. All new licensee applicants are required to contact our vendor, Morphotrust, to arrange for a fingerprint processing appointment. Please see instructions below. The applicants must go on-line and register, pay, and schedule a date, time and place that is most convenient for them. This is a LIVE system that is already running. Morphotrust will then forward the fingerprints to the State of Maine for processing. Please feel free to contact our Office at 207-624-8551 with any questions.

Here are the steps:

In State:

You will need to go into www.indentogo.com (There will be a link located on the State of Maine’s website)

- Select the State of Maine
- Select Online scheduling option
- Type in your name
- Select “Private Industry Applicant” option
- Find location, date to schedule appointment
- Enter in applicant information-demographics, address, etc. that would typically be associated to the fingerprint card
- **Be sure to enter in “The State of Maine” 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 client.
- Pay and get confirmation notice
- Fees are \$21 for filing fingerprints and \$25 for the vendor fee. Total of \$46.

Out of State:

Maine Card Scan

Processing Procedures:

Applicants who reside out of state, or are physically unable to go to a location to be fingerprinted may use MorphoTrust's Card Scan Processing Program. This program utilizes advanced scanning technology to convert a traditional fingerprint card (hard card) into an electronic fingerprint record. Converting a "hard card" into an electronic record enables an applicant to have their fingerprint record processed as quickly as if they had traveled to an electronic fingerprint processing location. The section below details the procedures for submitting fingerprints to the Card Scan Processing Unit.

State of Maine

- Applicants must go online to the MorphoTrust Enrollment website, www.Indentogo.com or call the toll free registration center at 1-855-667-7422 and complete the registration process. During the registration process, applicants should select "**Pay for Ink Card Submission**" on the Appointment Details page. This will identify to MorphoTrust that a hard card will be mailed to them for conversion to an electronic fingerprint record which will then be submitted to the Maine State Police (MSP).
- Applicants should complete the entire registration process; a confirmation number will be supplied at the end of the registration process. This number should be retained by the applicant for tracking purposes. This confirmation number must be recorded on the fingerprint card when it is submitted to MorphoTrust for proper processing.
- **Applicants are required to pre-pay all fees online during the registration process.** A \$21 filing fee and \$25 processing fee for Morphotrust will be a total of \$46.
- Fingerprints may be submitted on standard FBI applicant cards (FD-258); use of other types of fingerprint cards may delay your processing. Most law enforcement agencies should have this type of card.
- Applicants should obtain a set of fingerprints from a local law enforcement agency or other entity that provides fingerprinting services. These fingerprint cards may be either traditional ink rolled fingerprints or electronically captured and printed fingerprint cards.
- Applicants need to make sure the following information is completed on the fingerprint card. **Required information includes: Full name, Date of Birth, and the confirmation number provided at the end of the registration process.**
- **Be SURE that the Employer information has Maine Office of Securities with the Office's correct full address, 121 State House Station, Augusta ME 04333.**

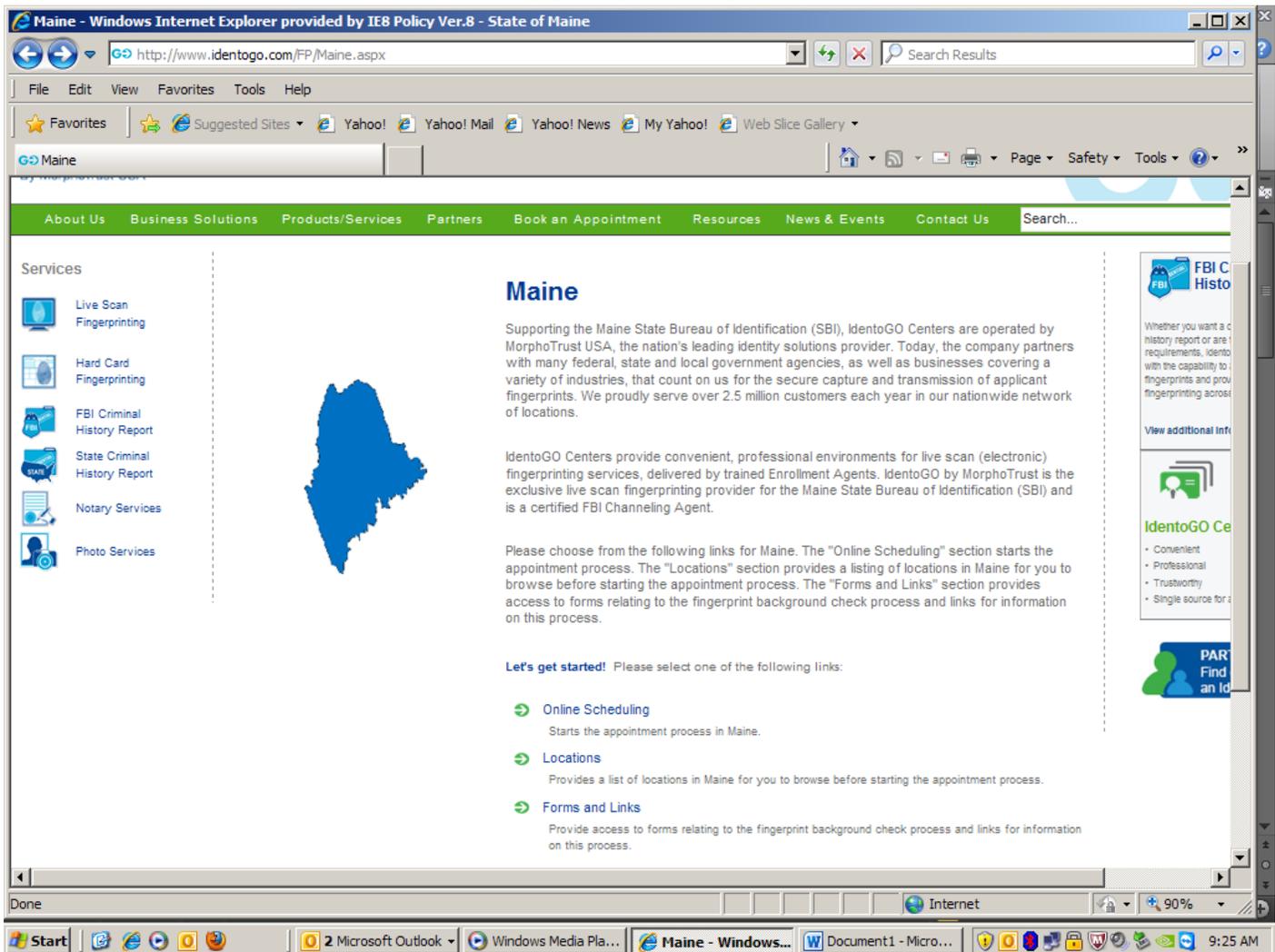
- The fingerprint card should then be sent to the following address (for tracking & security reasons, it is recommended that a shipping service with tracking service be utilized):

*MorphoTrust
Maine Cardscan
1650 Wabash Ave Suite D
Springfield, IL 62704*

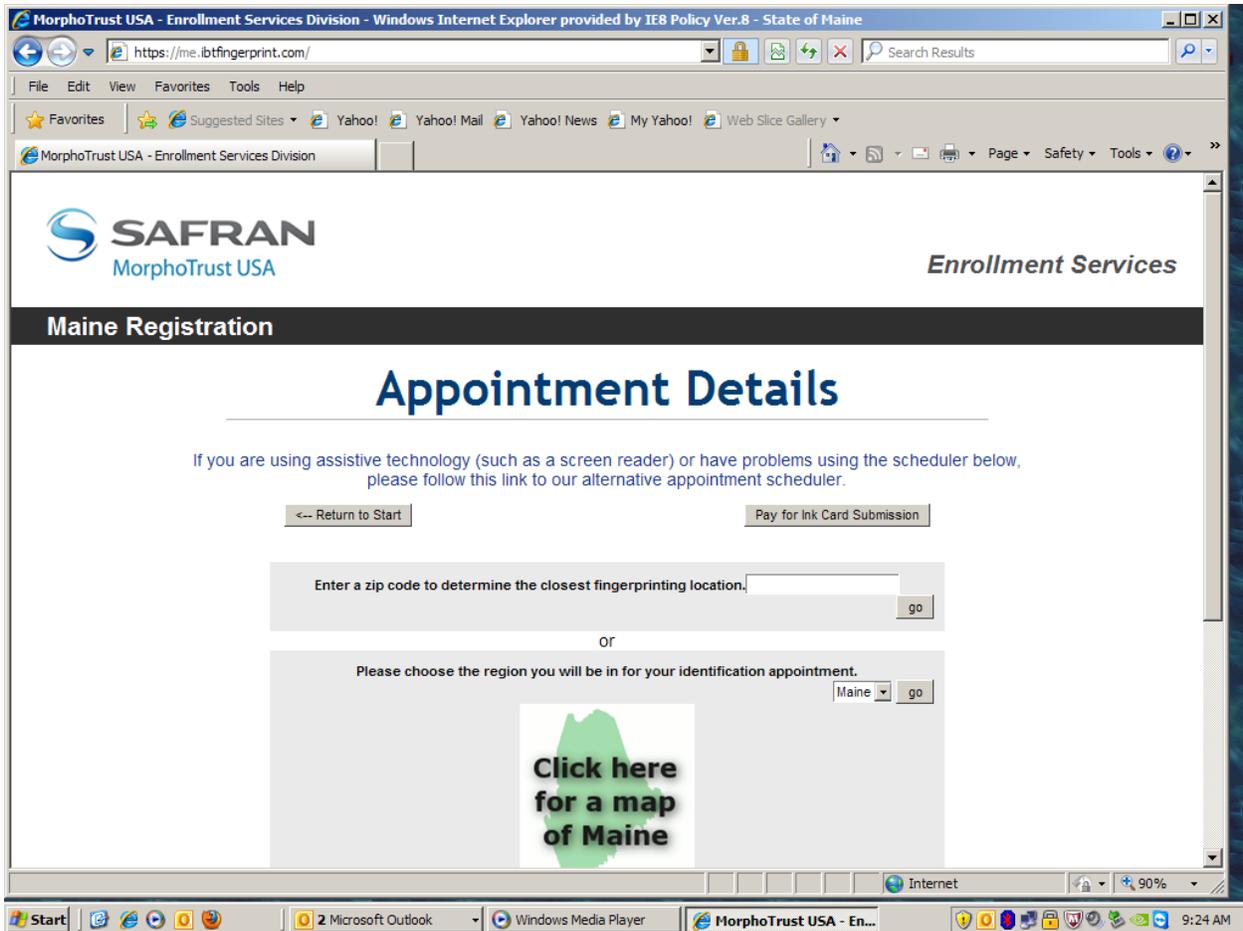
- Please include at least two (2) means of contact for each applicant for which a fingerprint card is submitted where the applicant can be reached if there are any questions related to the processing of the fingerprint card (for example, a daytime and evening telephone number or a cell phone number and email address, etc).
- Applicants wishing to verify that a fingerprint card has been processed may call 855-667-7422 and speak with a customer service representative. Please allow 3 days from date of mailing before contacting MorphoTrust regarding processing status.

Failure to complete the process as stated on these instructions will result in the card being returned to the applicant, which will delay the process.

Here are some screen shots of the website to help guide you through the process.



Click on On-line scheduling. Enter first and last name....



Customer to click on "Pay for Ink Card Submission" if applicant lives out of Maine.

The screenshot shows a web browser window titled "MorphoTrust USA - Enrollment Services Division - Windows Internet Explorer provided by IE8 Policy Ver.8 - State of Maine". The address bar shows "https://me.ibtfingerprint.com/index.php". The page content includes several form sections:

- Contact Information:** Fields for Daytime Phone Number, Daytime Phone Type, Evening Phone Number, Evening Phone Type, Daytime Email, Evening Email, Preferred Contact Method, Preferred Contact Time, and Contact Notes/Instructions. A checkbox is checked for "Yes, please email me educational materials, special offers and information about other L-1 products and services."
- Applicant Demographic Data:** Fields for Date of Birth (MM/DD/YYYY), Gender, Height (ft. and in.), Weight, Race, Hair Color, Eye Color, Place of Birth, Citizen Country (set to United States), and Social Security Number.
- Applicant Employer Information:** Fields for Employer Name, Employer Phone, Number, Direction, Street Name, Apt/Unit #, Country (set to UNITED STATES), Employer City, Employer State, and Employer Zip.

Applicant enters their registration information. Another reminder, **BE SURE that the Employer information has Maine Office of Securities 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 client.

If you have any questions, please feel free to contact me.

Thank you,

Billie-Jo Pyska

Licensing Coordinator

207-624-8490