

Pursuant to Rule Chapter 515 § 4 (1) (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.

Please note: The fingerprint requirement shall be waived if the applicant is currently registered or licensed by a state securities regulator at the time application for licensure in this state is made and the applicant has previously submitted fingerprint impressions to FINRA, the CRD, or another securities regulator in connection with registration or licensure.

Please follow the instructions below after clicking the link provided.

<https://www.identogo.com/>

In State (Maine):

- Select “Get Fingerprinted”.
- Select Maine.
- Select “Digital Fingerprinting”.
- Select “Schedule a New Appointment”.
- Select “Private Industry”.
- Review pop up and click “yes”.
- Enter your Zip Code.
- Select Location and Time.
- Enter your personal information in and **add employer** as ***Our Office**. You can only enter 25 characters so please put “ME-Office of Securities”.

Out of State:

- Select “Get Fingerprinted”.
- You will select Maine, as your state, if there are no locations in your state.
- Select “Digital Fingerprinting”.
- Select “Register for Fingerprint Card Processing Service”.
- Review pop up and click “yes” and take note of Tennessee address.
- Select “Private Industry”.
- Review pop up and click “yes”
- “Continue”
- Enter your personal information in and **add employer** as ***Our Office**. You can only enter 25 characters so please put “ME-Office of Securities”.
- You should be able to navigate after that and pay the fee at the end.
- Print confirmation page and mail the ******fingerprint cards to the Tennessee address previously provided.
- Please email me the confirmation.

Please note that if our Office is not placed down, during registration, as the employer, the results/cards are sent directly back to the firm or individual, and our Office will *not* be notified and therefore will not be able to continue with next steps in the licensing process. Please reach out if this happens.*

****Fingerprint Cards/prints can be obtained at your local PD or any other authorized facility.**

Please contact the Licensing Coordinator at (207)624-8551, if you have any questions.