

Electronic Submission of Fingerprints

Effective October 1, 2013, the Office of Financial Regulation, Division of Securities (“Division”) will require associated persons pending registration in Florida to submit fingerprints for livescan processing using vendors or service providers authorized by the Florida Department of Law Enforcement. Pursuant to Rule 69W-600.006 (2), Florida Administrative Rules, “The requirement to submit fingerprints is waived for those associated persons pending registration in Florida with a Financial Industry Regulatory Authority (FINRA) member firm and such fingerprints have been submitted and processed by FINRA on behalf of the member firm with which said associated person is pending registration, pursuant to the provisions of SEC Rule 17f-2 (17 C.F.R. § 240.17f-2 (2010)).” For those associated persons pending registration with investment advisers (not dually registered with a FINRA broker dealer), non-FINRA broker dealers and issuer dealers, fingerprints must be submitted for processing using an authorized livescan vendor or service provider with the results sent to the Division. The Florida Department of Law Enforcement (“FDLE”) website (www.fdle.state.fl.us/) provides a list of authorized livescan vendors and service providers, which are located throughout the country. From FDLE’s home page, click on Criminal History Records under ‘Our Services,’ then click the link under Fingerprint Submission for e-Government Criminal History Services to access the authorized livescan vendors and service providers.

To ensure your fingerprint results are sent to the Division, please provide the correct ORI number (Originating Agency Identification) for the Division to the service provider when you submit your fingerprints. If you do not provide an ORI number to the service provider or the ORI number is incorrect, the Division **will not** receive your fingerprint results. You are responsible for the costs associated with fingerprint processing, selecting the service provider, and ensuring submission of the prints to the Division.

The ORI number for the Division of Securities is **FL921250Z**.

Please contact the Division at 850-410-9893 if you have any questions.