



Secretary of State State of Indiana

Connie Lawson
Indiana Secretary of State

Alex Glass
Securities Commissioner

COMPLIANCE ALERT

TO: All Broker-Dealers, Investment Advisers, and their Registered Agents or Investment Adviser Representatives
FROM: Alex Glass, Securities Commissioner
DATE: April 1, 2020
RE: Administrative Order 20-0011 AO Granting Temporary Relief from Fingerprint Filing Requirement

The Indiana Secretary of State, Securities Division (“Division”) and Securities Commissioner (“Commissioner”) are issuing this compliance alert to notify registrants of the issuance of Administrative Order 20-0011 AO, which grants temporary relief from an investment adviser representative’s fingerprinting requirement. More information may be found by accessing the full order at the following link: [Current Administrative Orders](#).

In response to Governor Holcomb’s Stay at Home Executive Order, the Indiana State Police Department has temporarily suspended obtaining certain fingerprint-based criminal history reports, including those sought by applicants seeking to register with the Division as investment adviser representatives pursuant to I.C. § 23-19-4-6(c) (2019).

As a result, the Commissioner has issued Administrative Order 20-0011 AO, which provides that the Division may approve an application for registration as an investment adviser representative so long as the applicant submits fingerprints as soon as is practicable, but not after June 30, 2020. The Division retains all rights to re-evaluate registrations issued after receipt of an individual’s criminal background check and/or revoke a registration in an instance where an individual fails to submit fingerprints within the extended timeframe.

Questions regarding this alert or Administrative Order 20-0011 AO should be directed to securities@sos.in.gov.