New York State Office of the Attorney General

IPB ePayment User Guide

Version 1.1

5-19-2021

Table of Contents

IPB ePayment Overview

IPB ePayment is available for most filings where paper checks would be accepted by IPB. Currently, ePayment is voluntary. Filers wishing to use ePayment must create an ePayment account, fill out basic filing information and choose a payment method. Filers may choose to make an e-check payment or a credit card payment. Credit card payments require payment of an approximately ~3% service charge which is paid to the service providers, not the state.

Once your payment is complete, you will receive a payment receipt on OAG letterhead. You should include a printout of this receipt with your paper submission or forward the digital copy along with your digital filing. If there are additional questions regarding your payment IPB will reach out to you.

The ePayment system is located here.

For New Users

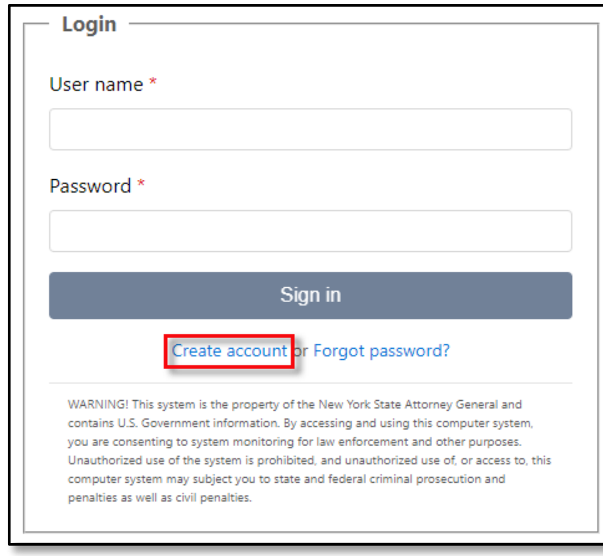
The IPB ePayment application is used to make electronic payments for all available forms.

Creating an Account

If you are a new user of the IPB ePayment application, create an account by doing this:

1. Go to the Investor Protection Bureau Login screen, enter your **User name** and **Password**.

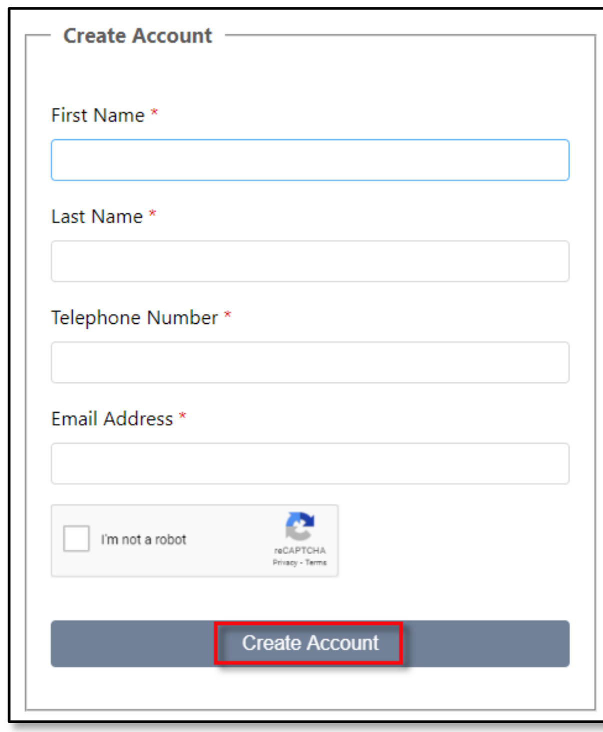
2. Select **Create account**.



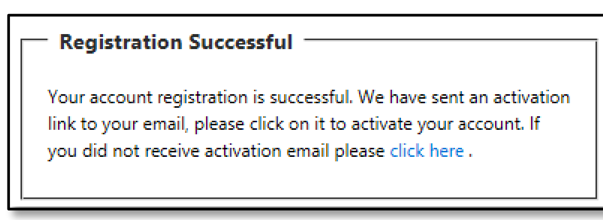
3. At the **Create Account** window, fill out the following fields:
   - **First Name**
   - **Last Name**
   - **Telephone Number**
   - **Email Address**

4. Check the **I'm not a robot** checkbox.

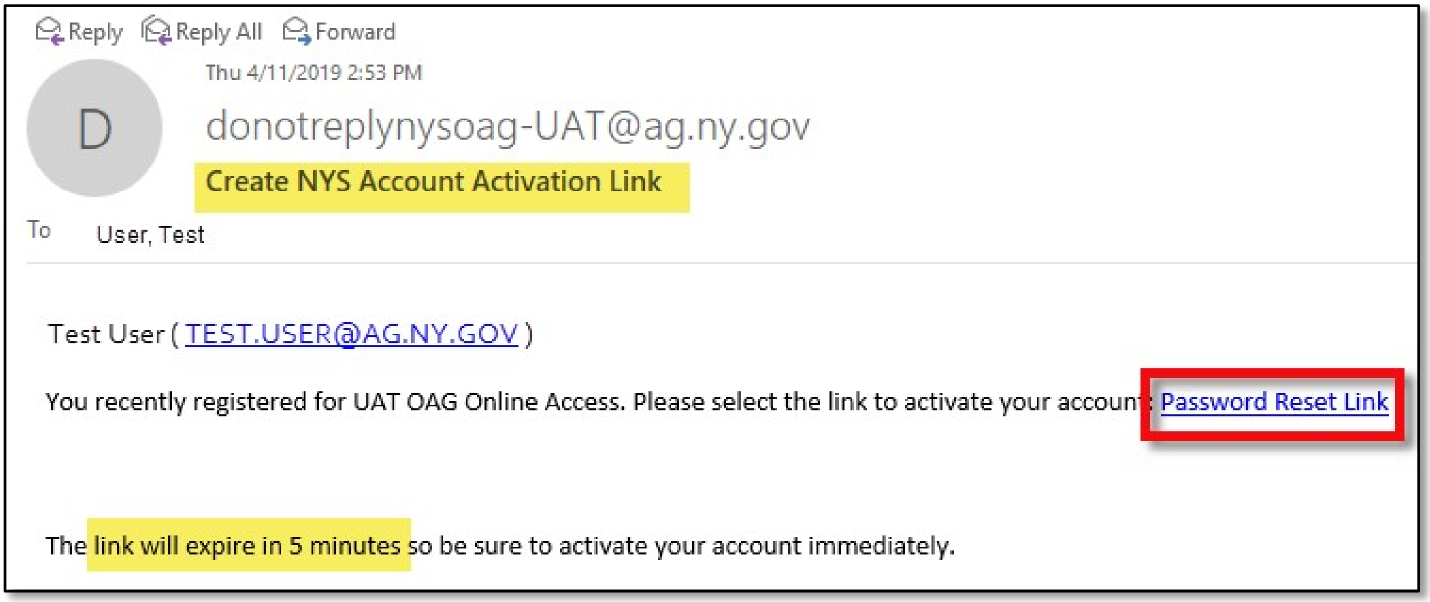
5. Select **Create Account**.



6. The **Registration Successful** screen appears.

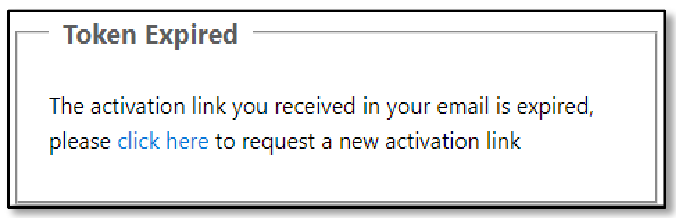


7. An activation link is emailed to the account you provided in **Step 3**. The email's subject line is **Create NYS Account Activation Link** and the message is:



8. In the email, select the **Password Reset Link**.

Note: The account activation link expires five minutes after it is sent. If you click it after more than five minutes have passed, you get an error message. You can click on the link in the error message to request a new link.



9. Change your password as described in *Changing Your Password*.

General Tasks

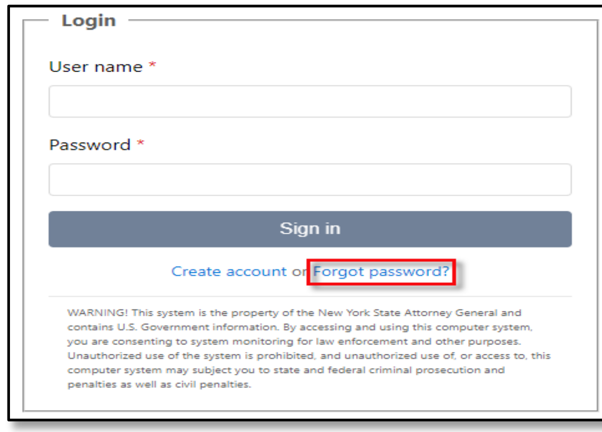
Troubleshooting

If the procedures in this guide do not work, if you get an error screen, or if you have questions about how to do any task using the IPB ePayment application, please contact the Investor Protection Bureau by email IPBEPAY@ag.ny.gov .

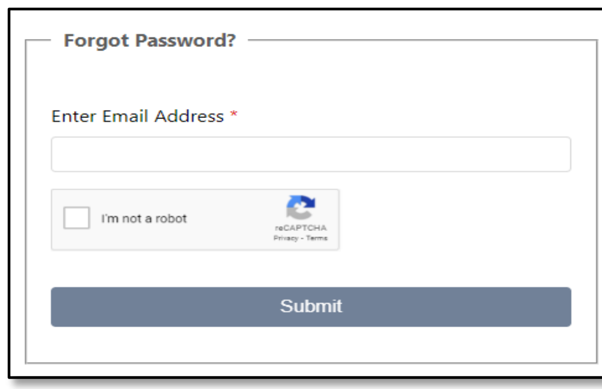
Changing Your Password

Users manage their own passwords.

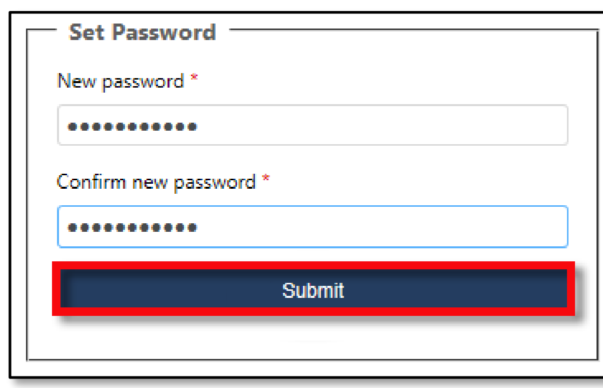
To change your password:



1. Go to the **Login** screen and click **Forgot password**.



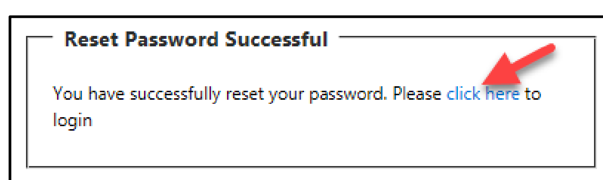
2. Enter your **Email Address**.
3. Check the **I'm not a robot** checkbox.
4. Select **Submit**.



5. Enter your **New password** and **Confirm new password**.*
6. Select **Submit**.

***Note:** A password must meet the below requirements.

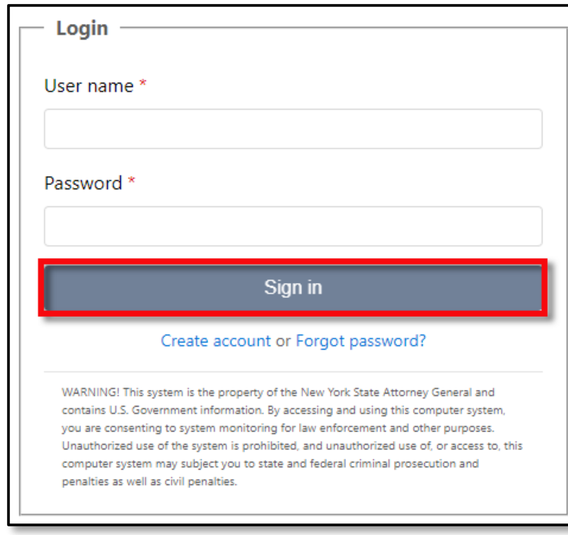
- **At least 8 characters long.**
- **At least one capital letter.**
- **At least one lower-case letter.**
- **At least one number.**
- **At least one special character.**



7. The **Reset Password Successful** message appears. Select the **click here** link to login.

Logging In

Go to the Internet Protection Bureau screen and select the **ePayment** field. The **Login** screen appears.

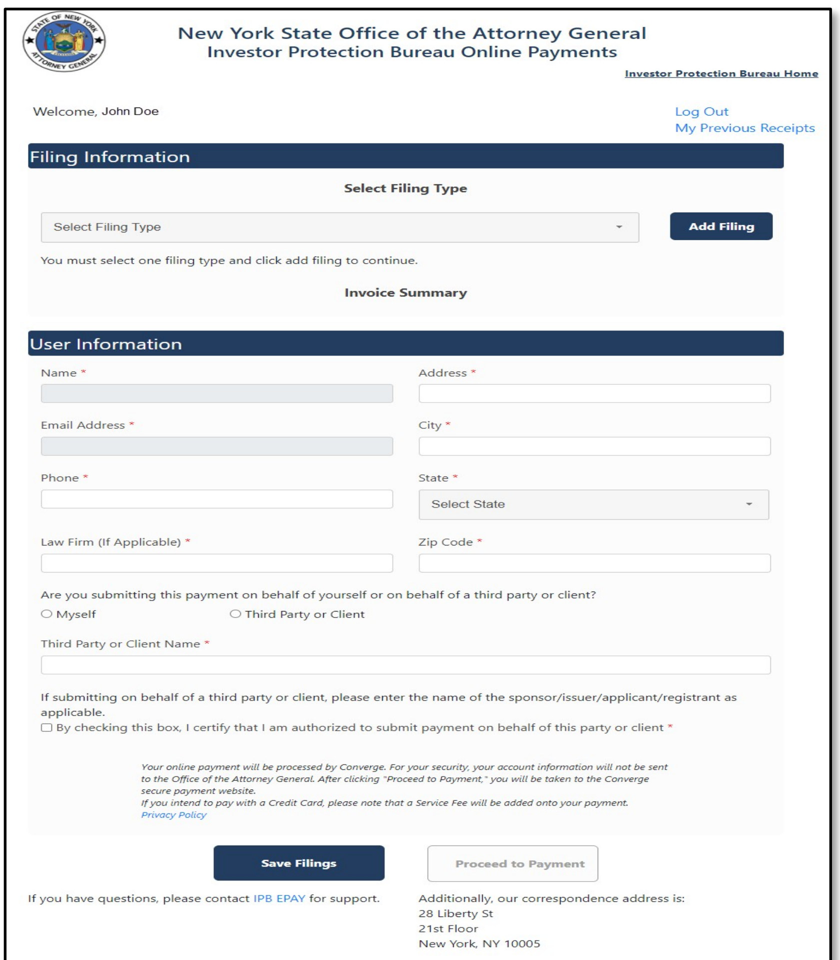


To login:

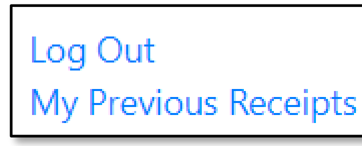
1. Enter your user name in the **User name** field.

Note: Your User name is the email address you used to create the account.

2. Enter your password in the **Password** field.
3. Select **Sign in**.
4. The IPB ePayments home page appears.



Logging Out



To log out of the IPB ePayment application, go to the **IPB Payment** screen and select **Log Out** near the top right of the screen.

The IPB ePayment Application Home Page

Once you log in, the **IPB Payment** home page displays. From this screen you can choose a filing to add, create and save a filing, or start the payment process.

This screen has two parts: The **Filing Information** section, where you can choose what kind of filing to create, and the **User Information** section which has some fields populated from the information associated with your login.

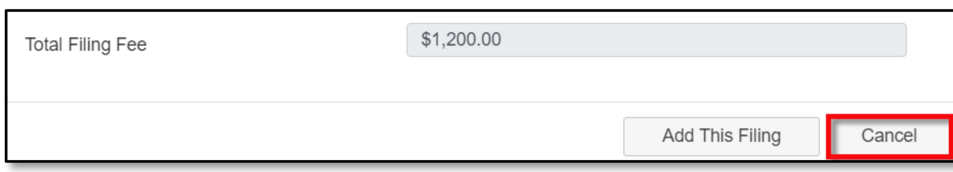
Adding a Filing

At the **Select Filing Type** field, select the dropdown menu, select the correct filing type, and select **Add Filing**, which takes you to a screen for that filing. See the procedures under *Submitting the Filing Types* for details.

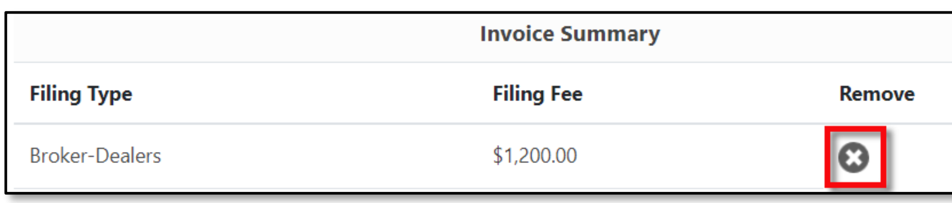
Editing or Canceling a Filing

Before you click **Add This Filing** you can edit the filing fields, but once a filing is added to the invoice you cannot edit it.

If you want to cancel the filing instead of saving it, select **Cancel**. This loses whatever information you entered in the form and returns you to the **IPB Payment** homepage



Once added, you can also select the X in the invoice menu to remove a filing if you've made a mistake in the filing.

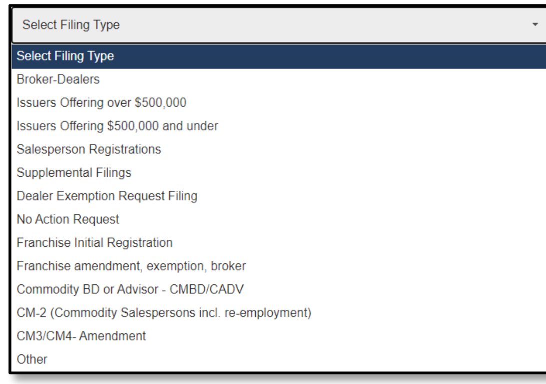


Paying for a Filing

Once you are done with creating a filing, select **Proceed to Payment**, and ePayment calculates the fee and takes you to the payment page. See the *Paying for a Filing* procedure below.

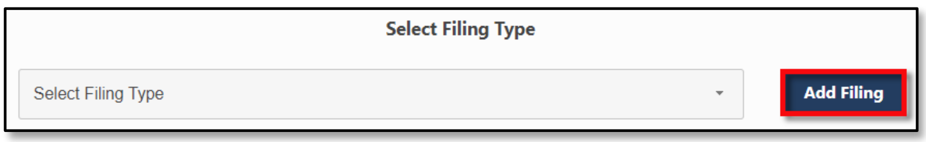
Selecting a Filing Type

To select a filing type to create or change:



1. Click the **Select Filing Type** field in the **Filing Information** section, and select the appropriate filing type from the dropdown menu that appears:

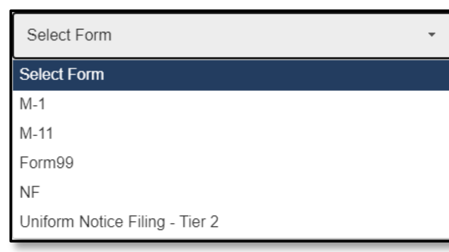
2. Click the **Add Filing** button to the right of the **Select Filing Type** field to go to a screen that lets you create or change the filing.



Note: Required fields in forms will be denoted with a red asterisk (*)

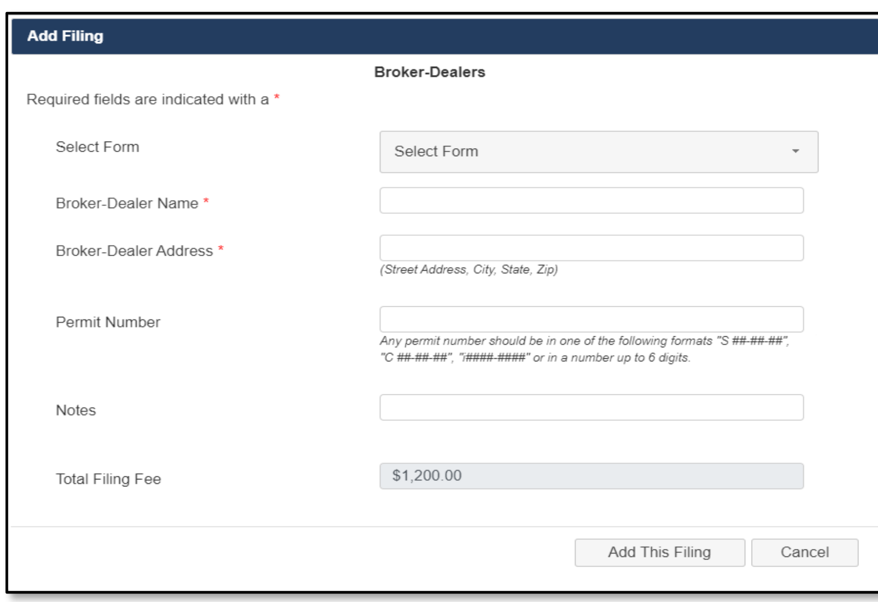
Submitting the Filing Types

Broker-Dealers



1. At the **Add Filing** screen for Broker-Dealers, select the proper form from the **Select Form** Drop Down Menu.

Note: The options for the **Select Form** Drop Down includes the options: **M-1, M-11, Form99, NF** and **Uniform Notice Filing – Tier 2**.



2. Fill out the following fields:

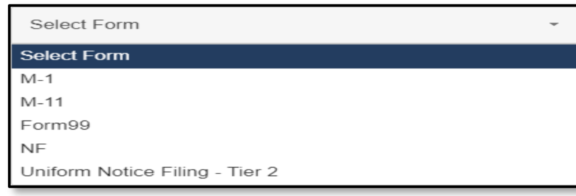
   - **Broker-Dealer Name**
   - **Broker-Dealer Address**
   - **Permit Number (Optional)**
   - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

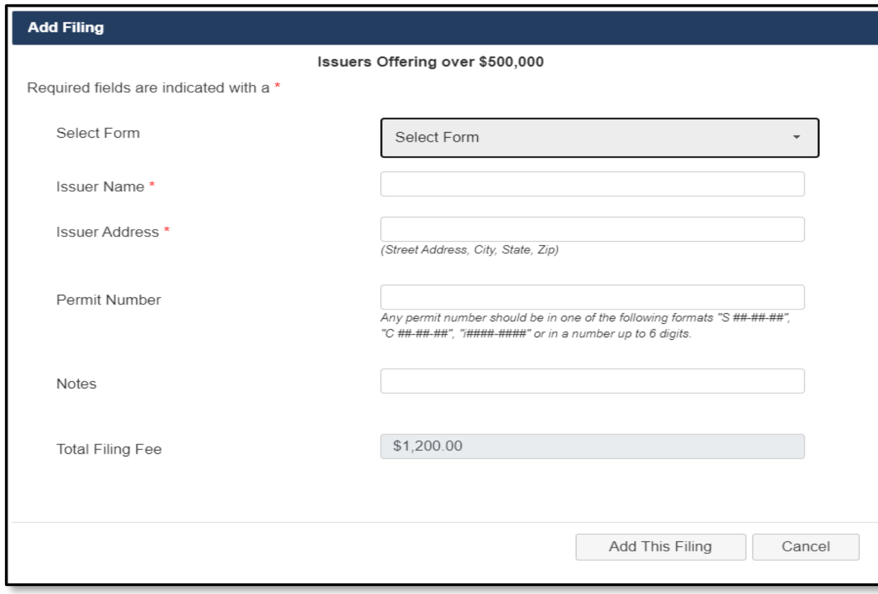
3. Select **Add this Filing**.

Issuers Offering over $500,000

1. At the **Add Filing** screen for Issuers Offering over $500,000, select the proper form from the **Select Form** Drop Down Menu.



Note: The options for the **Select Form** Drop Down includes the options: **M-1, M-11, Form99, NF** and **Uniform Notice Filing – Tier 2**.



2. Fill out the following fields:
   - **Issuer Name**
   - **Issuer Address**
   - **Permit Number (Optional)**
   - **Notes (Optional)**

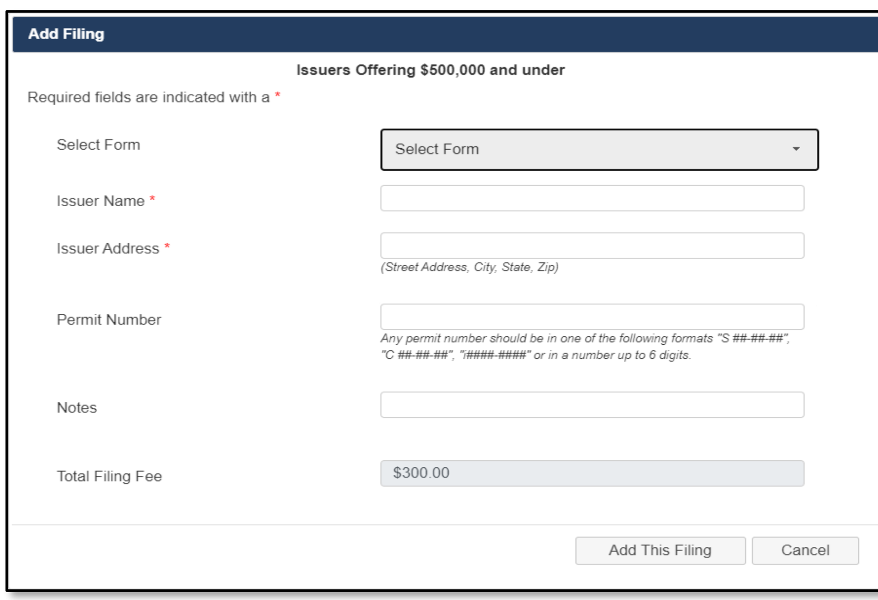
Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

3. Select **Add this Filing**.

Issuers Offering $500,000 and under

1. At the **Add Filing** screen for Issuers Offering $500,000 and under, select the proper form from the **Select Form** Drop Down Menu.

Note: The options for the **Select Form** Drop Down includes the options: **M-11, Form99, NF** and **Uniform Notice Filing – Tier 2**.

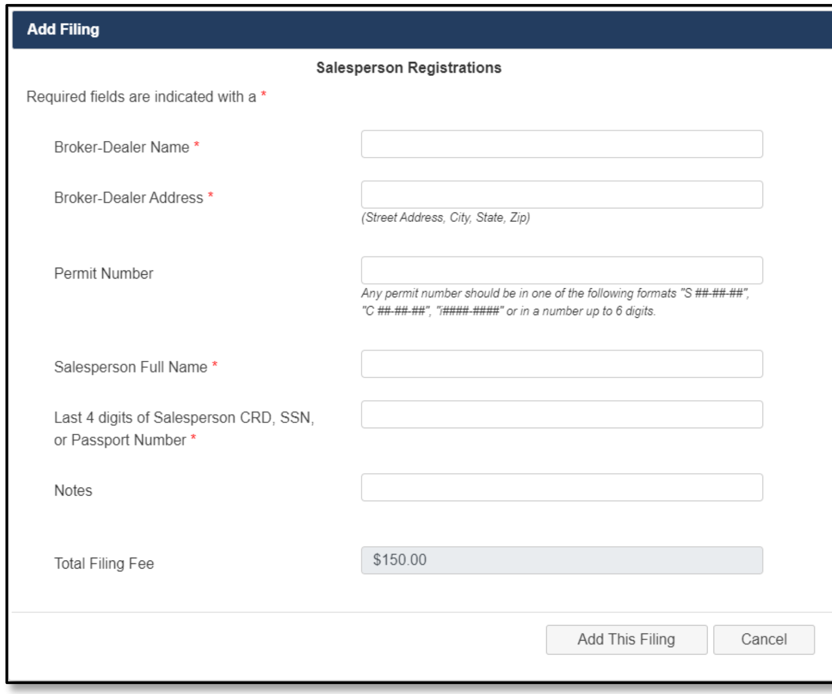


2. Fill out the following fields:
   - **Issuer Name**
   - **Issuer Address**
   - **Permit Number (Optional)**
   - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

3. Select **Add this Filing**.

Salesperson Registrations



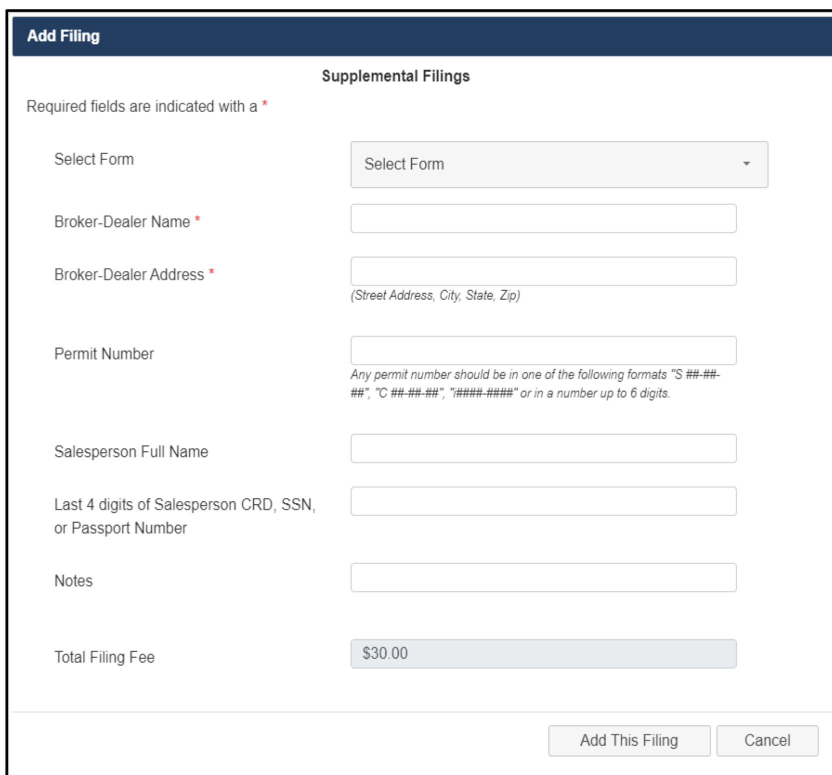
1. Fill out the following fields:
    - **Broker-Dealer Name**
    - **Broker-Dealer Address**
    - **Permit Number (Optional)**
    - **Salesperson Full Name**
    - **Last 4 digits of Salesperson CRD, SSN, or Passport Number**
    - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

2. Select **Add this Filing**.

Supplemental Filings

1. At the **Add Filing** screen for Supplemental Filings, select the proper form from the **Select Form** Drop Down Menu.



Note: The options for the **Select Form** Drop Down includes the options: **M-3, M-4, Amended M-11, Amended Form99, Amended NF** and **Amended Uniform Tier 2**.

2. Fill out the following fields:
    - **Broker-Dealer Name**
    - **Broker-Dealer Address**
    - **Permit Number *(Optional)***
    - **Salesperson Full Name *(Optional)***
    - **Last 4 digits of Salesperson CRD, SSN, or Passport Number *(Optional)***
    - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

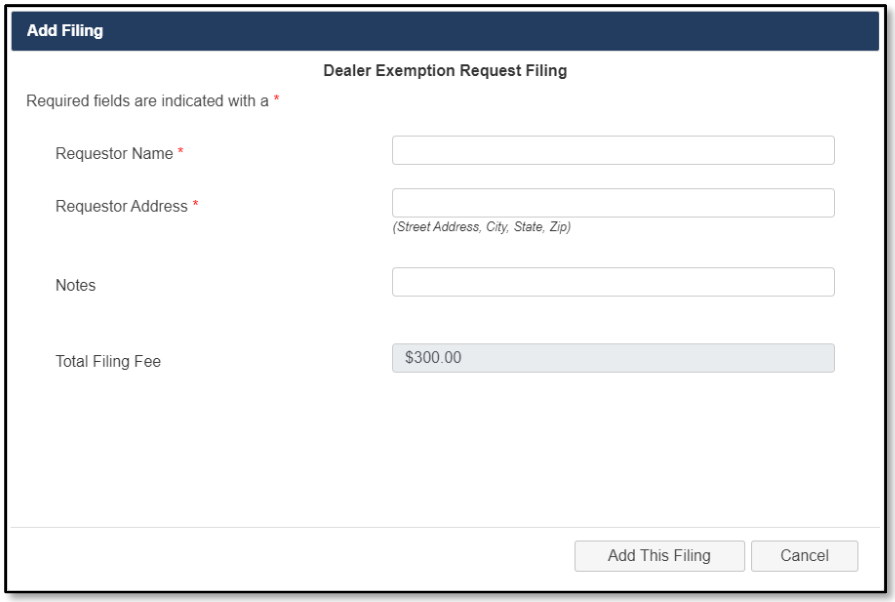
3. Select **Add this Filing**.

Dealer Exemption Request Filing

1. Fill out the following fields:
   - **Requestor Name**
   - **Requestor Address**
   - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

2. Select **Add this Filing**.

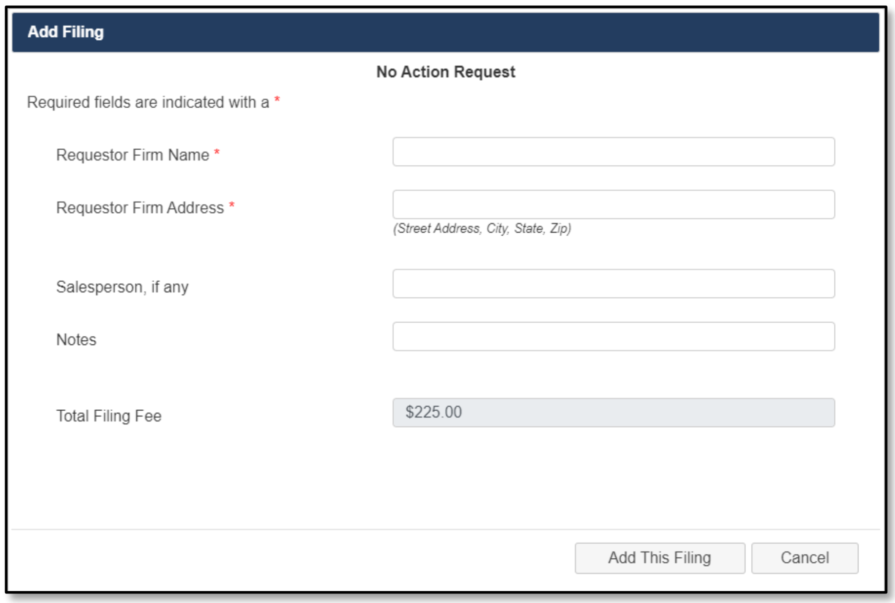


No Action Request

1. Fill out the following fields:
   - **Requestor Firm Name**
   - **Requestor Firm Address**
   - **Salesperson, if any (Optional)**
   - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

2. Select **Add this Filing**.

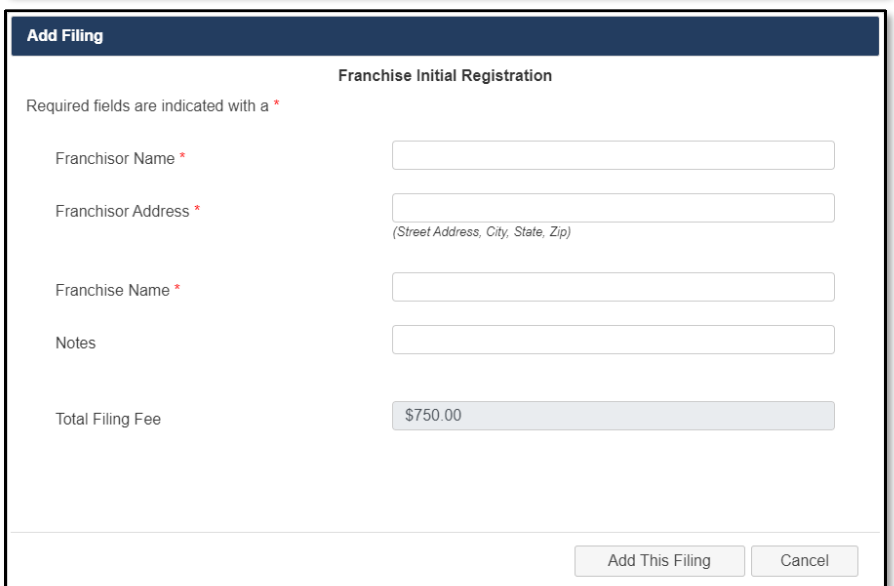


Franchise Initial Registration

1. Fill out the following fields:
   - **Franchisor Name**
   - **Franchisor Address**
   - **Franchise Name**
   - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

2. Select **Add this Filing**.

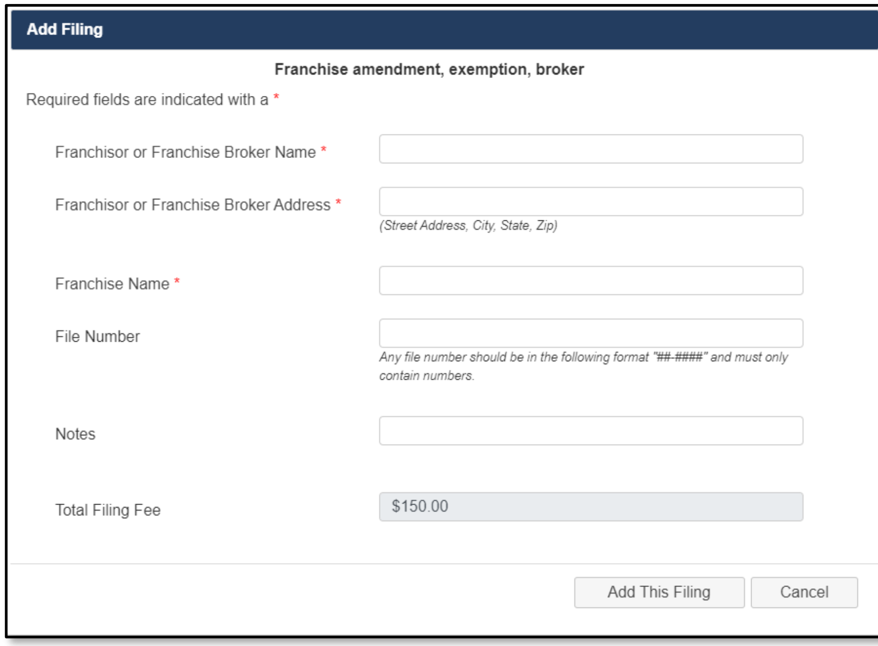


Franchise Amendment, Exemption, Broker

1. Fill out the following fields:
    - **Franchisor or Franchise Broker Name**
    - **Franchisor or Franchise Broker Address**
    - **Franchise Name**
    - **File Number (Optional)**
    - **Notes (Optional)**

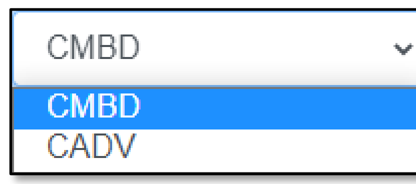
Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

2. Select **Add this Filing**.



Commodity BD or Advisor – CMBD/CADV

1. At the **Add Filing** screen for Commodity BD or Advisor – CMBD/CADV, select the proper form from the **Select Form** Drop Down Menu.

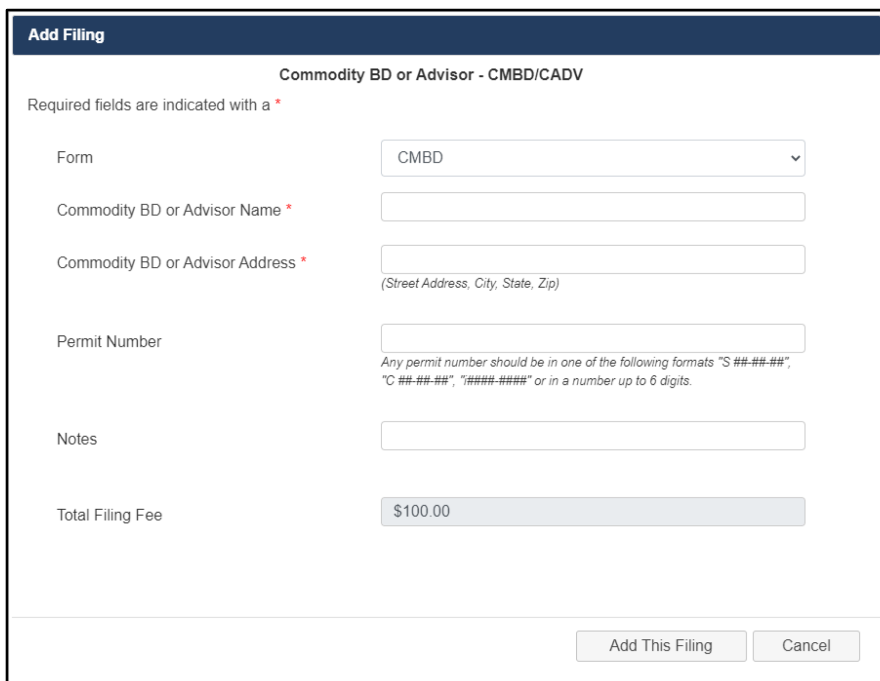


Note: The options for the **Select Form** Drop Down are **CMBD** or **CADV**.

2. Fill out the following fields:
    - **Community BD or Advisor Name**
    - **Community BD or Advisor Address**
    - **Permit Number (Optional)**
    - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

3. Select **Add this Filing**.



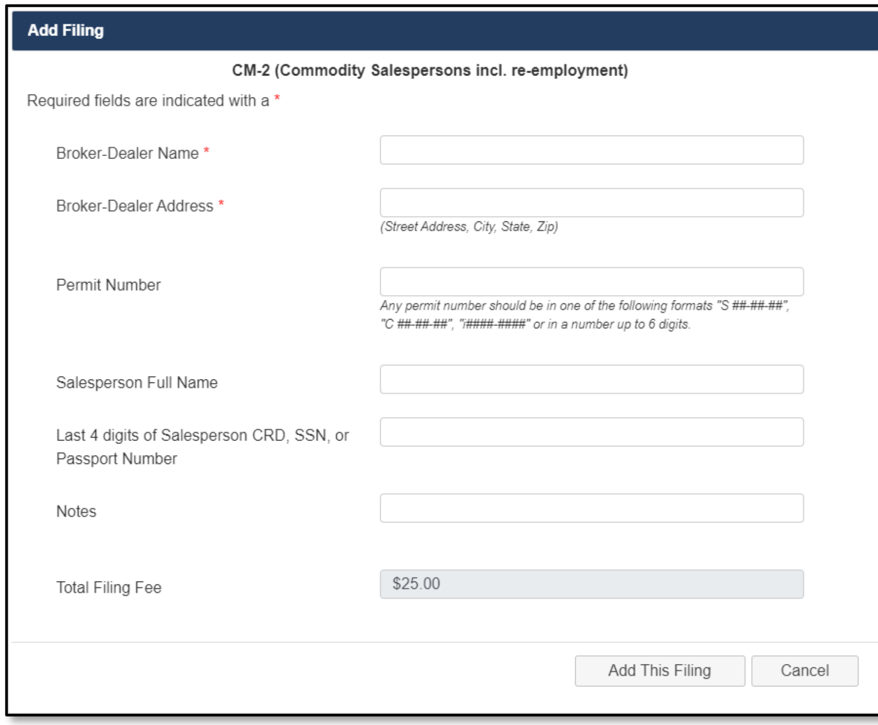
CM-2 (Commodity Salespersons incl. re-employment)

1. Fill out the following fields:

    - **Broker-Dealer Name**
    - **Broker-Dealer Address**
    - **Permit Number (Optional)**
    - **Salesperson Full Name (Optional)**
    - **Last 4 digits of Salesperson CRD, SSN, or Passport Number (Optional)**
    - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

2. Select **Add this Filing**.



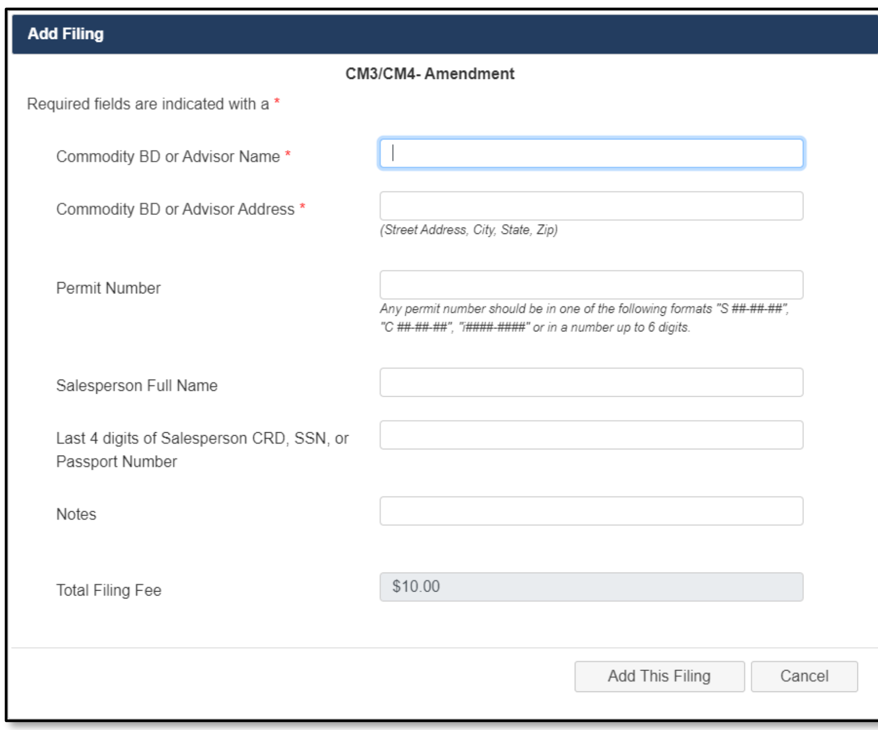
CM3/CM4 - Amendment

1. Fill out the following fields:

    - **Community BD or Advisor Name**
    - **Community BD or Advisor Address**
    - **Permit Number (Optional)**
    - **Salesperson Full Name (Optional)**
    - **Last 4 digits of Salesperson CRD, SSN, or Passport Number (Optional)**
    - **Notes (Optional)**

Note: The **Total Filing Fee** field is automatically set and is not an adjustable field.

2. Select **Add this Filing**.

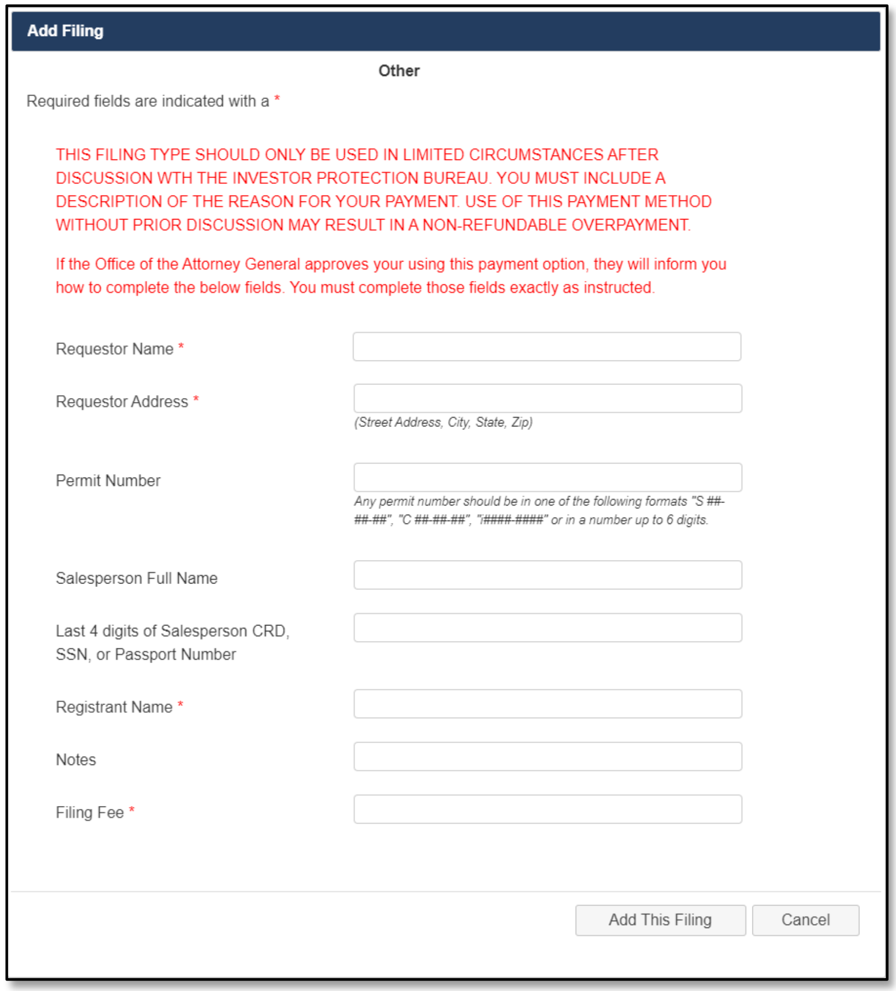


Other*

1. Fill out the following fields:

   - **Requestor Name**
   - **Requestor Address**
   - **Permit Number (Optional)**
   - **Salesperson Full Name (Optional)**
   - **Last 4 digits of Salesperson CRD, SSN, or Passport Number (Optional)**
   - **Registrant Name**
   - **Notes (Optional)**
   - **Filing Fee**

Note: The **Filing Fee** field is adjustable for this filing type.



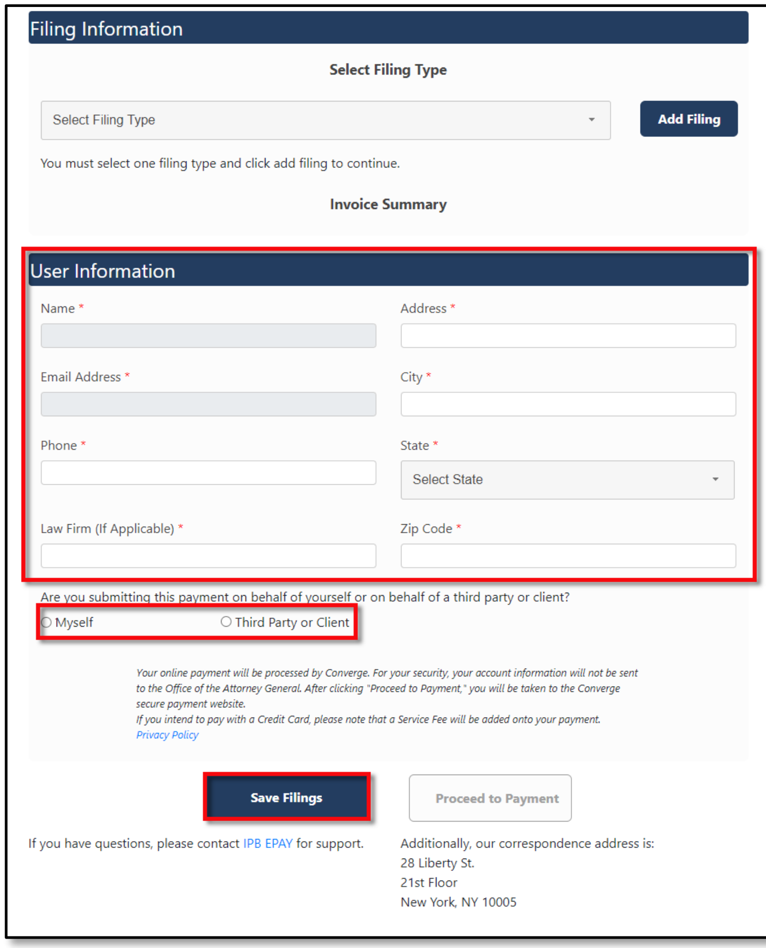
2. Select **Add this Filing**.

***Note:** This filing type should only be used in limited circumstances after discussion with the Investor Protection Bureau. You must include a description of the reason for your payment. Use of this payment method without prior discussion may result in a non-refundable overpayment.

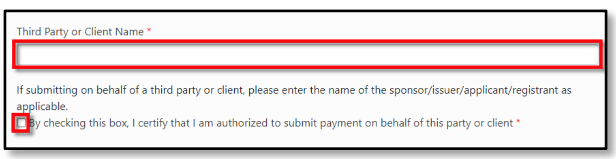
Paying for a Filing

To pay for a filing, fill out the required information for that filing at the appropriate screen and click **Add This Filing**. ePayment calculates the fee and reverts to the **IPB Payment** screen. The **Invoice Summary** in the **Filing Information** section shows the information you submitted in this filing.

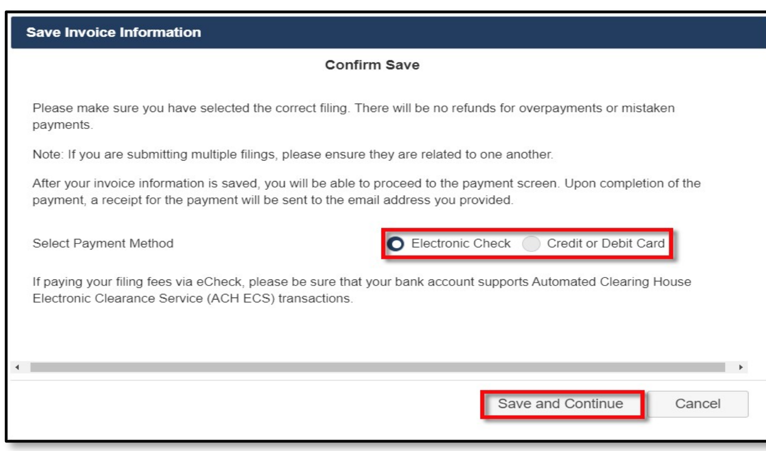
1. Complete the **User Information** fields:
   - **Name**
   - **Address**
   - **Email Address**
   - **City**
   - **Phone**
   - **State**
   - **Law Firm (If Applicable)**
   - **Zip Code**



2. To submit the payment, choose either the **Myself** or **Third Party or Client** option.
3. If you choose the **Third Party or Client** option, you will be prompted to provide more information: the name of the Third Party or Client, and a certification check box that you are authorized to submit payment for them.



4. Select **Save Filings**.



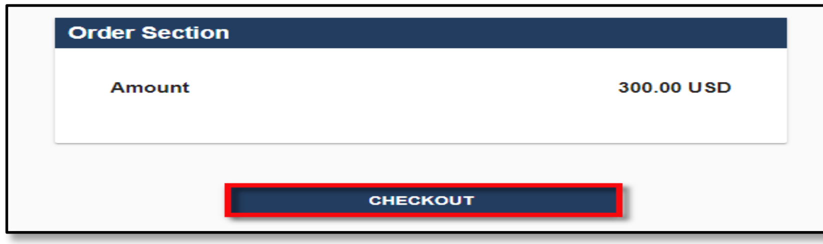
5. Select your payment method, either **Electronic Check, Credit** or **Debit Card**.
6. Select **Save and Continue**.

Note: If you click **Cancel**, you can see your work, but it hasn't been transmitted to the database. You can edit, correct, and then save it.

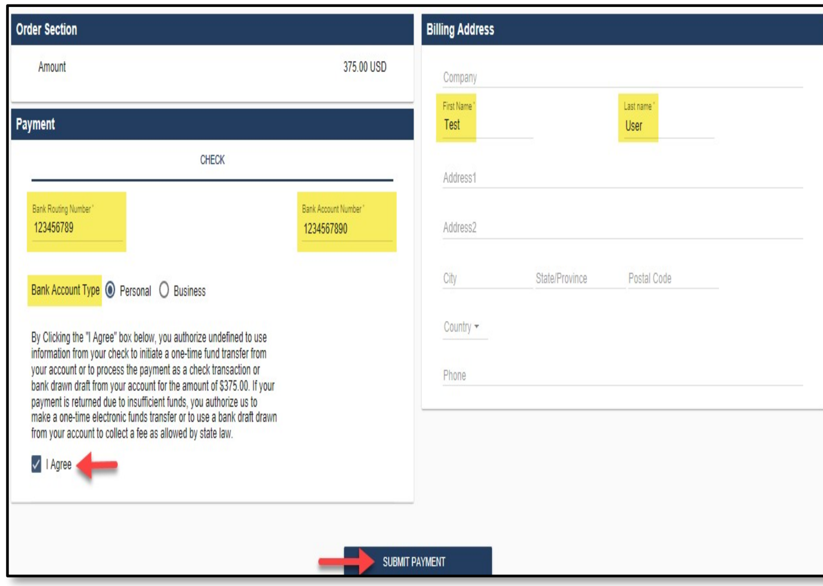
7. Verify the information you've entered. If the information is correct, select the **Proceed to Payment** option at the bottom right of the screen.

Electronic Checks

8. The **Order Section** screen in the Payment system will appear, select **CHECKOUT**.



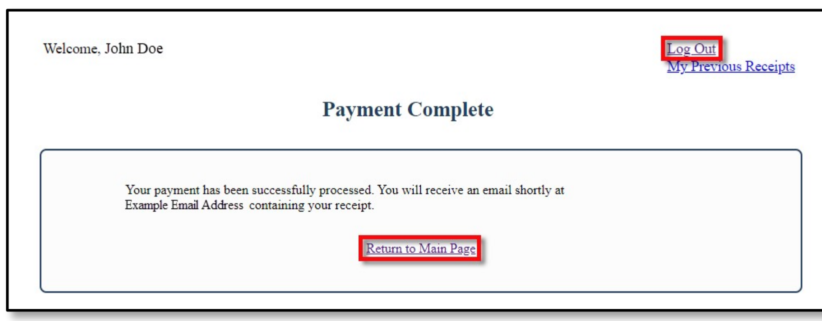
9. The **Order Section** screen adds the following fields to fill in.
   - **Bank Routing Number**
   - **Bank Account Number**
   - **Bank Account Type**
   - **First Name**
   - **Last Name**
   - **Billing Address**
10. Check **I Agree to the Terms and Conditions**.
11. Select **Submit Payment**.



A message displays confirming the payment is complete.

12. If you're done, click **Log Out** at the top of the screen.

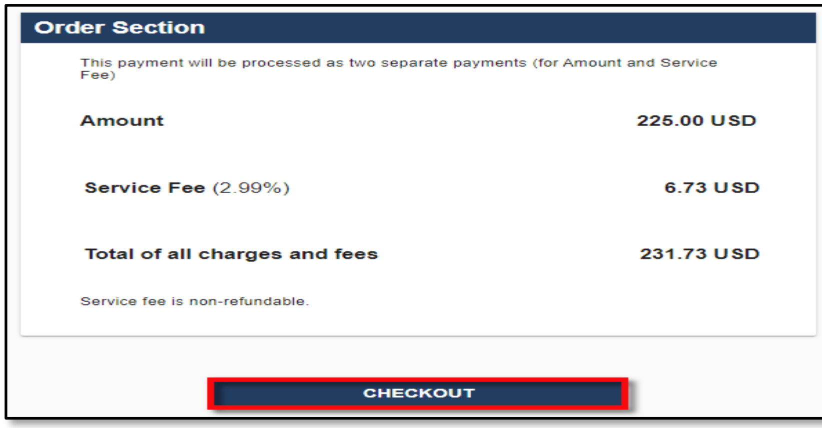
Note: If you have more filings to add, click **Return to Main Page** at the bottom of the screen.



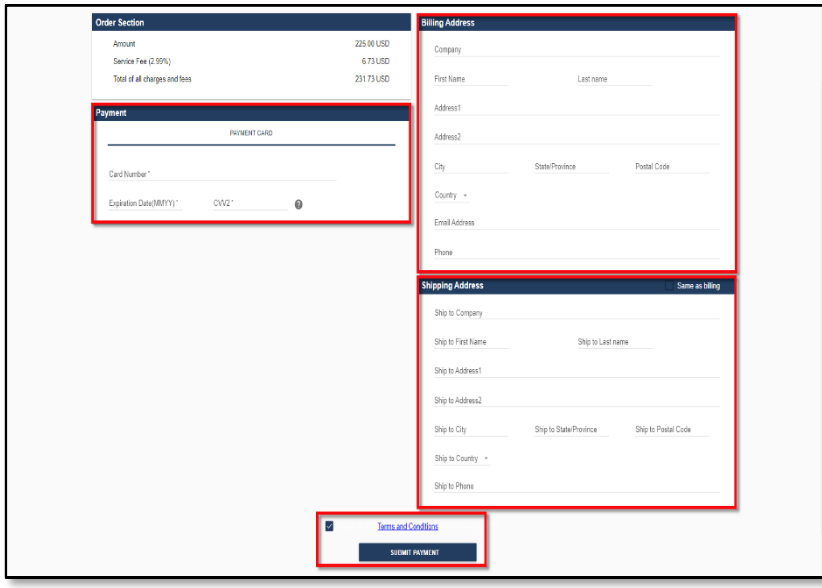
When payment is complete, you receive an email from **no-reply@evalon.com** noting the details.

Debit or Credit

8. The **Order Section** screen in the Payment system will appear, select **CHECKOUT**.



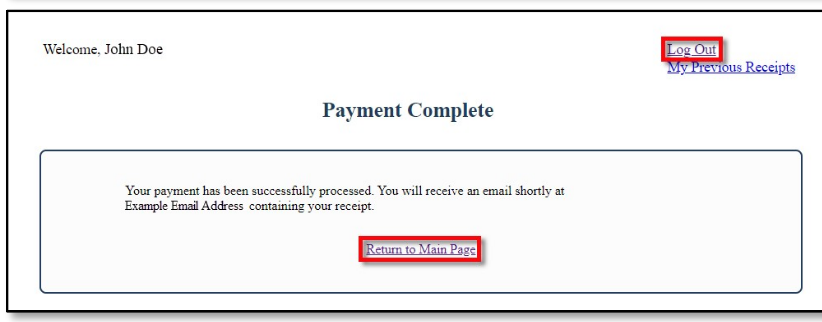
9. The **Order Section** screen adds the following fields to fill in.
   - **Card Number**
   - **Expiration Date**
   - **CVV2**
   - **Billing Address**
   - **Shipping Address**



10. Check **I Agree to the Terms and Conditions**.
11. Select **Submit Payment**.

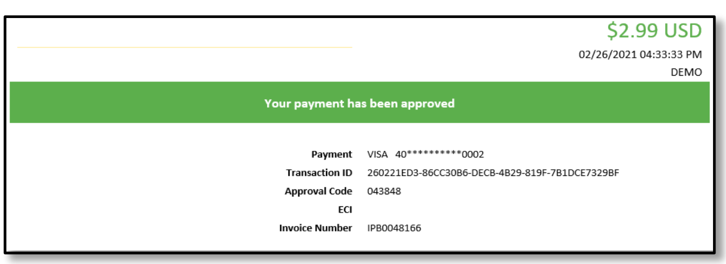
A message displays confirming the payment is complete.

12. If you're done, click **Log Out** at the top of the screen.



Note: If you have more filings to add, click **Return to Main Page** at the bottom of the screen.

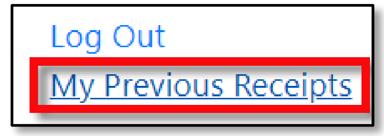
When payment is complete, you receive an email from **no-reply@evalon.com** noting the details.



Checking Previous Receipts

You can view and download previous payment receipts.

1. At the top right of the **IPB Payment** screen, click **My Previous Receipts**:



2. A list of receipts will then be displayed.

3. Select **Download** to see a copy of the receipt. A PDF file containing the receipt will then be downloaded to your computer.

Previous Receipts

Click on a receipt to download it

Date Submitted	Total Fee	Plan ID	Download Receipt
04/18/2019	$375.00		Download
04/18/2019	$375.00		Download
04/18/2019	$525.00	CP160033	Download
04/17/2019	$60.00	CP160033	Download
04/17/2019	$375.00		Download
04/17/2019	$375.00		Download
04/15/2019	$475.00	CP160033	Download
04/12/2019	$375.00		Download

Close