

Office of the New York Attorney General Letitia James

Investor Protection Bureau

October 2026

Investor Protection Bureau Online Payments System – Reference Guide

Contents

1. IPB ePayment Overview 2
2. Accessing Your Account 2
2.1. Logging In 2
2.2. Creating Your Account 3
2.3. Creating/changing Your Password 4
3. Making Payment on the ePayment Portal 5
3.1. Adding a Filing 6
3.2. Making an ePayment for a filing 8
4. Checking Previous Receipts 11
5. Appendix: Filing Types 11
5.1. Broker-dealer 11
5.2. Issuers offering over $500,000 12
5.3. Issuers offering $500,000 and under 12
5.4. Salesperson registrations 13
5.5. Supplemental filings 13
5.6. Dealer exemption request 14
5.7. No action request 14
5.8. Franchise initial registration 14
5.9. Franchise amendment, exemption, broker 15
5.10. Commodity BD or advisor – CMBD/CADV 15
5.11. CM-2 (Commodity salespersons incl. re-employment) 16
5.12. CM-3/CM-4 - Amendment 16
5.13. Other 17

1. IPB ePayment Overview

Investor Protection Bureau (IPB) ePayment is available for most filings where paper checks would be accepted by the 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. .

Note: If you get an error screen and are not able to resolve issues by following steps in this guide, or if you have any questions about how to do any task using the IPB ePayment portal, please contact the Investor Protection Bureau (IPB) by email at **IPBEPAY@ag.ny.gov**

2. Accessing Your Account

If you are a new user of the IPB ePayment system, you can create an account by using the steps described in the "**2.2 Creating an Account**" section below.

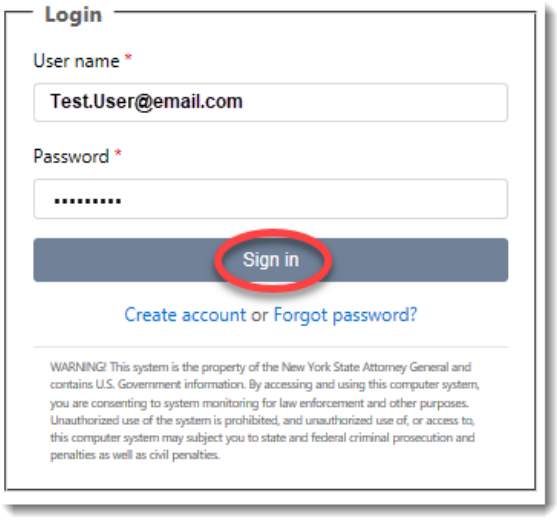
If you already have an account, please log in using these steps:

2.1. Logging In

On the **Login** screen for the IPB ePayment system:

- Enter your username in the **Username** field.
- Enter your password in the **Password** field.
- Click **Sign In**.
- The IPB ePayments home page appears.

  Next, go to **Section 3.0** in this document for steps related to ePayments on the portal.

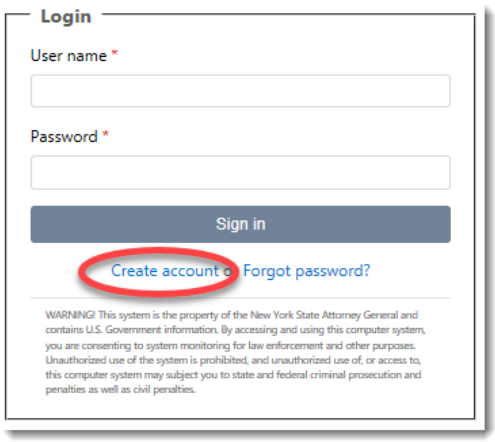


Note: To log out of the IPB ePayment system, click on the **Log Out** link on the top right of the screen.

2.2. Creating Your Account

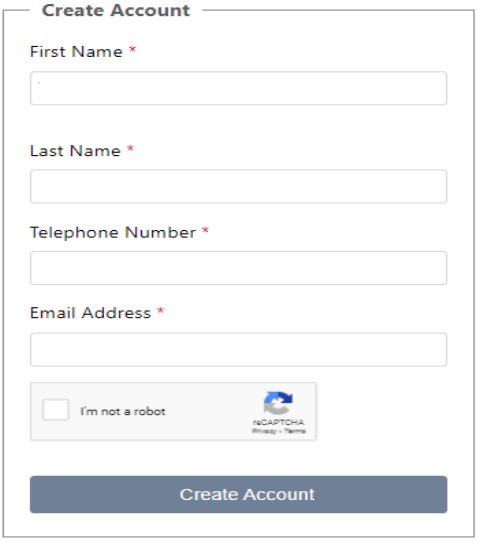
If you are a new user, please follow these steps to create your account:

- On the IPB ePayment **Login** page, click **Create account**.

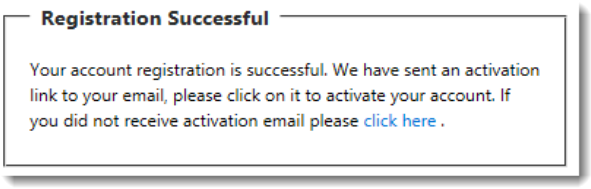


- On the **Create Account** window, enter your **First Name**, **Last Name**, **Telephone Number**, and **Email Address.**

  Also, validate the reCAPTCHA with a check mark on the "I'm not a robot" box, then click the **Create Account** button.



- Next, the **Registration Successful** screen appears.

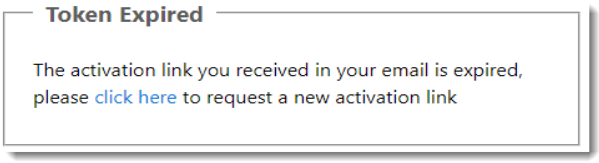


- An activation link is emailed to the email address provided in the previous *Create Account* step.

  To activate the newly created account, click on the **User Activation Link** (also see section **2.3 Changing Your Password** for additional details).



Note: The account activation link **expires five minutes after it is sent**. If the link is clicked after more than five minutes, an error message is displayed. Users can click on the link in the error message to request a new link.



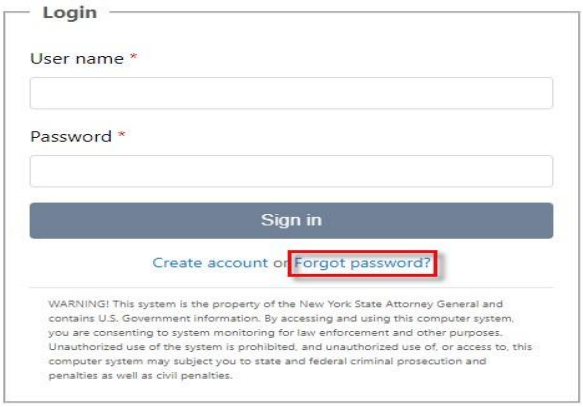
2.3. Creating/changing Your Password

Users manage their own passwords. A password must:

- Be at least eight characters long.
- Have at least one upper-case letter.
- Have at least one lower-case letter.
- Have at least one number.
- Have at least one special character.

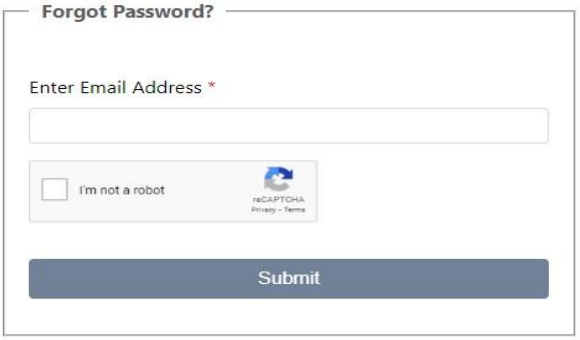
To create/change your password:

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

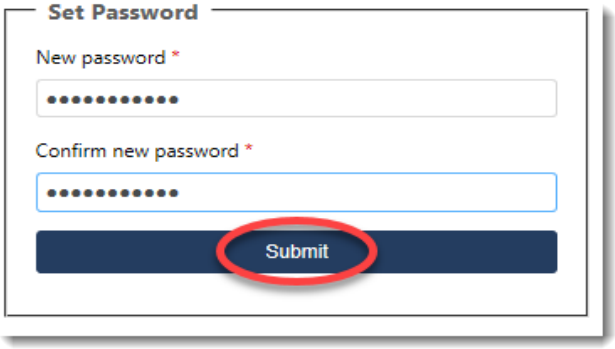


- Next enter your Email Address.

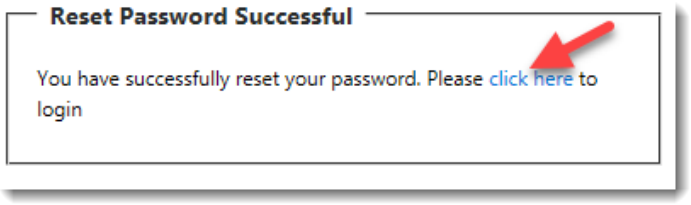
  Also check the I'm not a robot checkbox and then click the Submit button.



- Set the new password at the **Set Password** screen by entering the new password in the **New password** field, confirming it by re-entering it in the **Confirm new password** field, then clicking **Submit**.



- Next, the **Reset Password Successful** message appears. Use the **click here** link to login into the IPB ePayment system using the steps listed in **Section 2.1.**

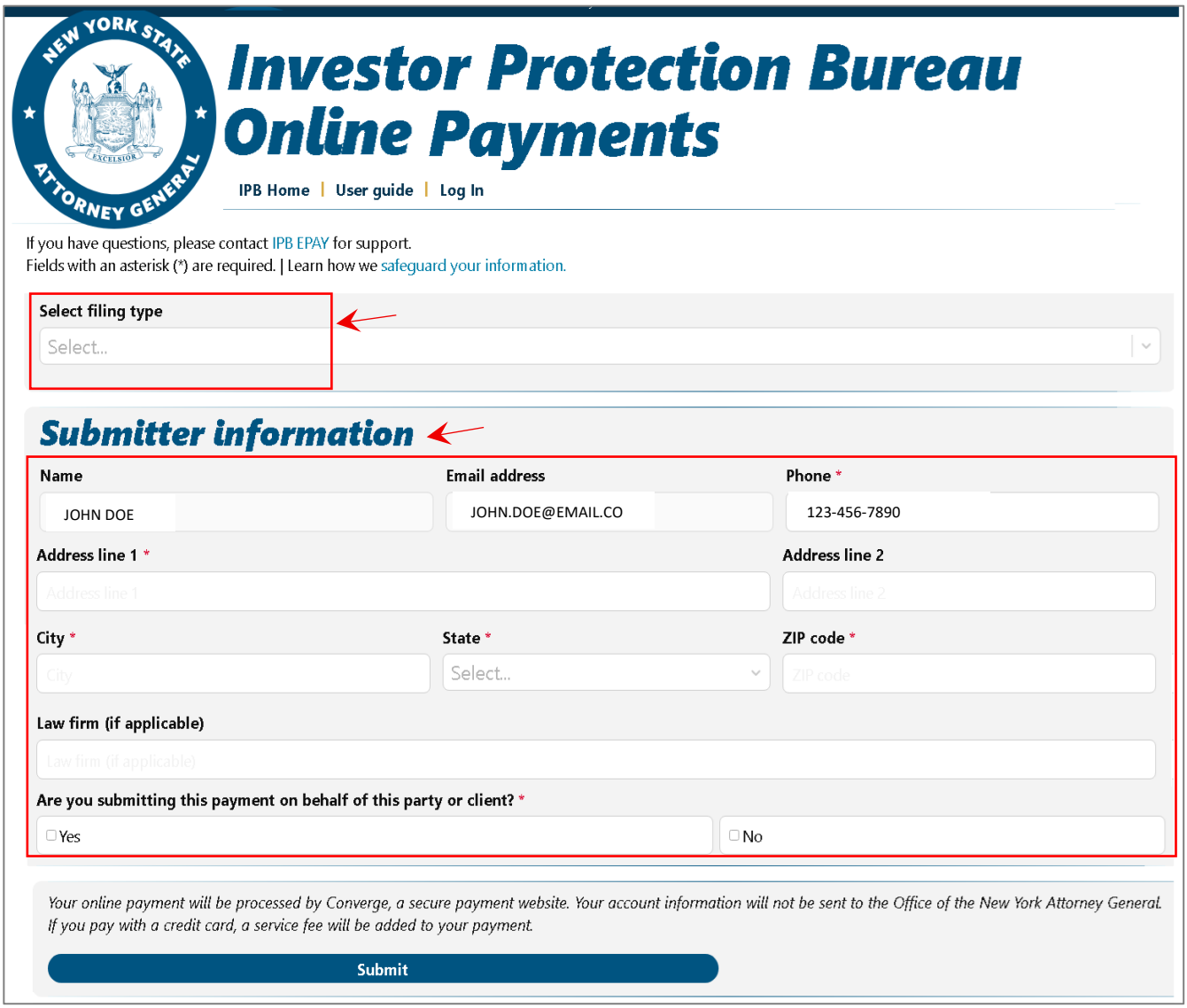


3. Making Payment on the ePayment Portal

Once you log into the IPB ePayment portal, the IPB ePayment home page is displayed. On this page you can choose to add a filing, create and save a filing, or start the payment process.

This screen has two parts: The top section which includes **filing type/information**, where you can choose the type of filing to create, and the **Submitter information** section, which includes your information.

Note: Few of fields in the Submitter Information section will be pre-populated using the information associated with your login.

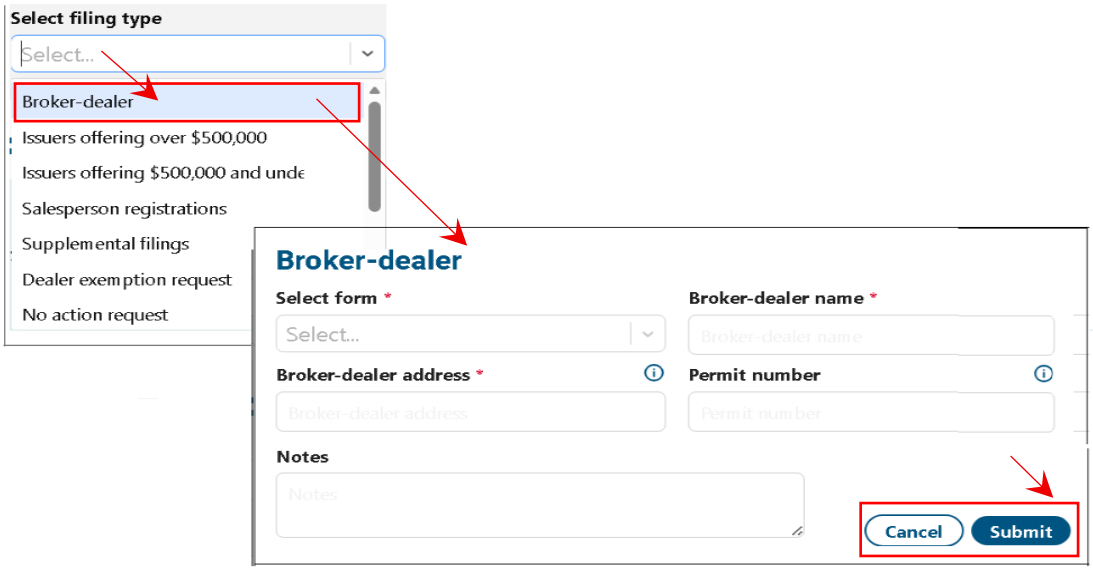


3.1. Adding a Filing

- In the **Select filing type** field, use the dropdown menu to select the correct filing type, which will then display a pop-up screen with fields relevant for the selected filing.

  Example: Selecting the **Broker-dealer** option will display **Broker-dealer** pop-up window with fields relevant for that filing.

  Also see **Section – 4 Appendix – Filing Types** for additional details.

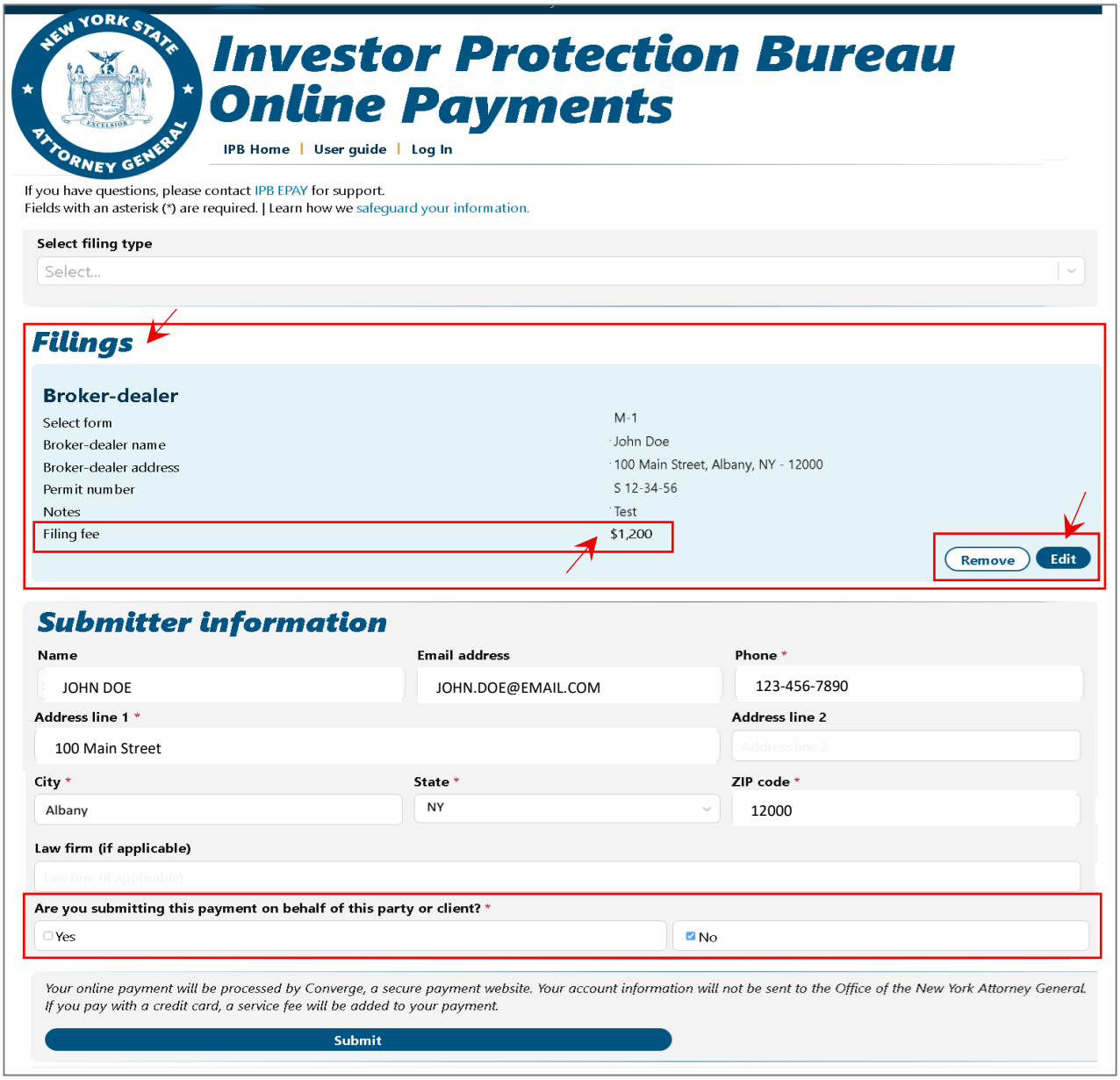


  - Required fields are indicated by red asterisk *
  - **Address field format**: Street address, City, State, Zip.
  - **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.
  - **File number format**: Any file number should be of the format ##-#### and must contain only numbers.

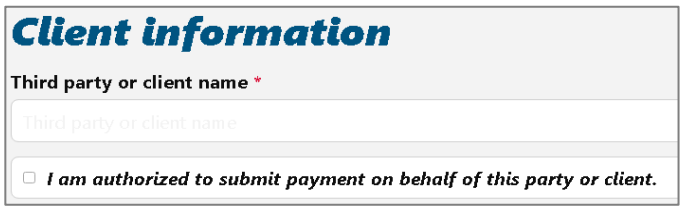
- In the pop-up window for the selected filing, complete all the required and relevant fields and then click the **Submit** button to add the information to the IPB ePayment form.

- The completed information for the selected filing type is now displayed in the **Filing** section of the IPB ePayment form.

  - The **Filings** section will also include **Filing fee** information, which is not editable.
  - To edit any field (other than the **Filing fee**) in the **Filings** section, use the **Edit** button.



- Complete all the fields in the **Submitters information** section.
  - The required fields are indicated by a red asterisk *
  - If you respond **Yes** to the question **"Are you submitting this payment on behalf of this party or client?",** then additional fields are displayed for you to include in the **Client information** section.

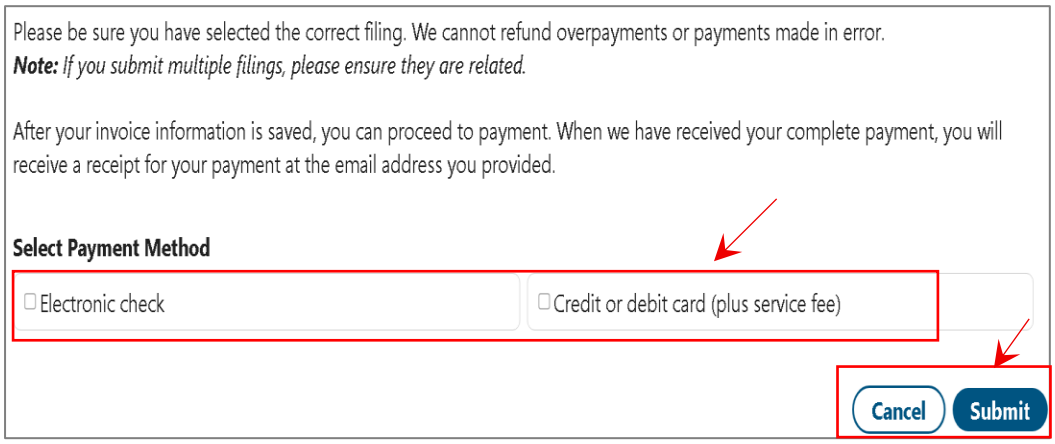


- After completing all the required/relevant fields and sections, click on the **Submit** button located at the bottom of the screen.



3.2. Making an ePayment for a filing

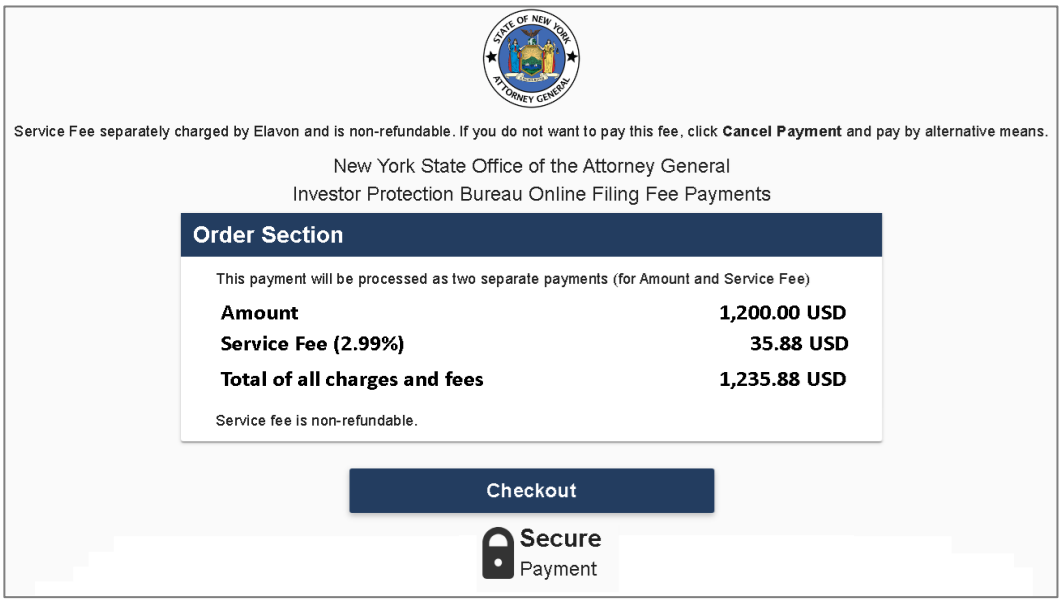
- After submitting the IPB filing form, select your payment method, either **Electronic Check** or **Credit or debit Card.**



Note: Credit or debit card option will add a non-refundable service fee to your filing fee.

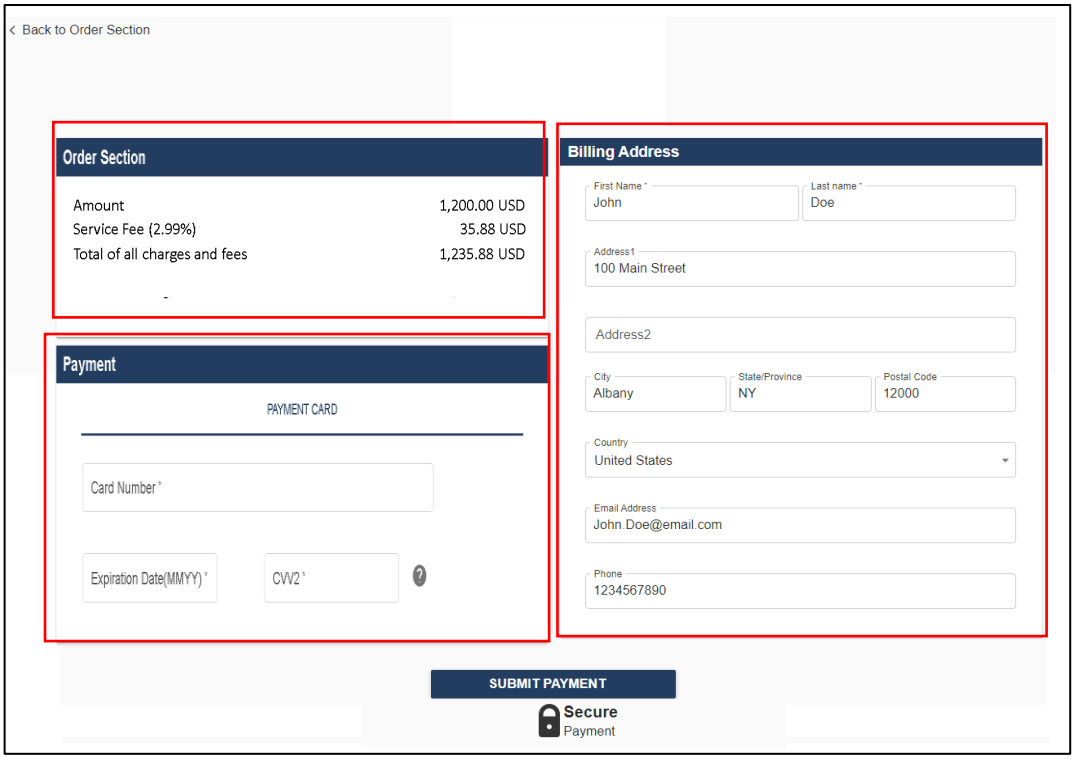
- Click the **Submit** button to continue. 

- On the next page, confirm the payment amount and then click the **Checkout** button to navigate to the secure payment details page.



Note: To cancel the payment, click the **Cancel Payment** link located on the top left side of the page and return to the previous page.

- On the **Payment Details** page, enter the Payment and Billing Address details.



  - In the **Order Section** of the **Payment Details** page, verify the payment amount.

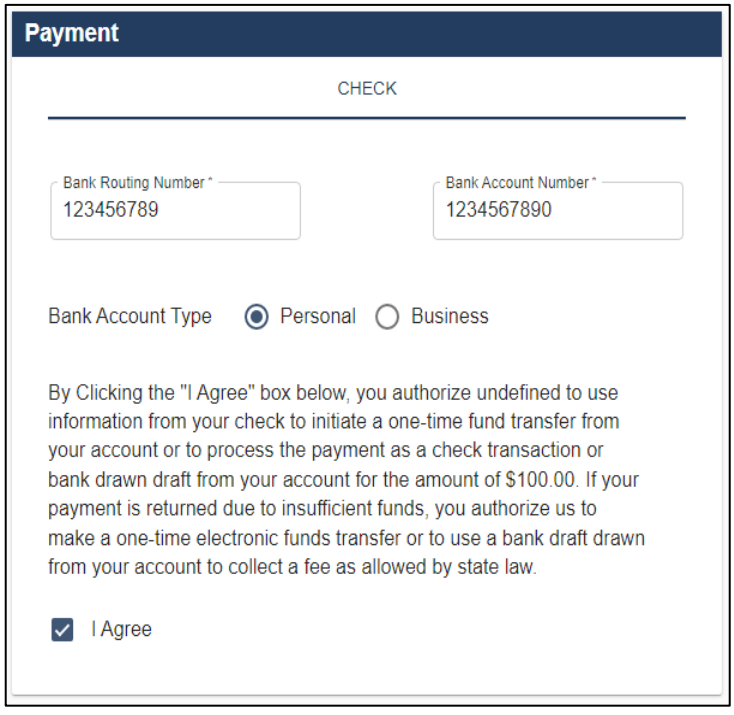
    Note: Payment amount may display additional service fees if the mode of payment is credit/debit card.



  - **Electronic Check:** If **Electronic Check** option was selected as the payment type in previous steps, then the **Payment** section will display fields for you to enter your bank account details.

    The following information will be needed for a successful payment transaction:

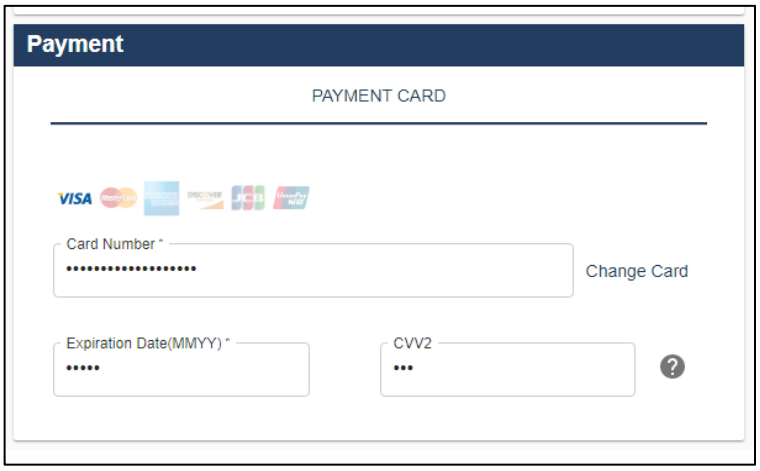
    - Bank Routing Number (9 digits)
    - Bank Account Number
    - Bank Account Type: Personal or Business (select applicable option)
    - Also specify the **Bank Account Type**
    - Next, authorize the eCheck transaction by clicking the **I Agree** box located on the bottom left of the page.



- **Credit/Debit Card**: If Credit Card or Debit Card was selected as the payment type in previous steps, then the **Payment** section will display fields for you to enter card details.

  The following information will be needed for successful payment transaction:

  - Card Number
  - Expiration Date on the card (MMYY format)
  - CVV2 number (click the  icon for CVV2 details)



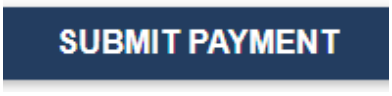
Note: The following cards are accepted for payment transaction (subject to change):

Visa, MasterCard, AmericanExpress, Discover, JCB, and UnionPay.

- After entering the payment details for eCheck or Credit/Debit Card, enter the Billing Address in the fields located on the right side of the page.



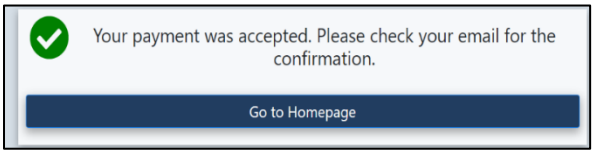
- To Complete the transaction, click the **Submit Payment** button located on the bottom of the page.



- To cancel the transaction, click the **Back to Order Section** link located on the top left side of the page.



- A successful transaction will display a confirmation message and will also send a confirmation email to the email address specified in the Billing Address section.



- Users can either click the **Go to Homepage** button on the confirmation message or close the browser to conclude your session on the ePayment portal.

4. Checking Previous Receipts

You can view and download previous payment receipts.

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



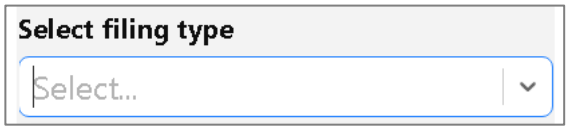
- A list of receipts will then be displayed.

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



5. Appendix: Filing Types

The **Select filing type** field has multiple options for you to select applicable filing type for your submission.

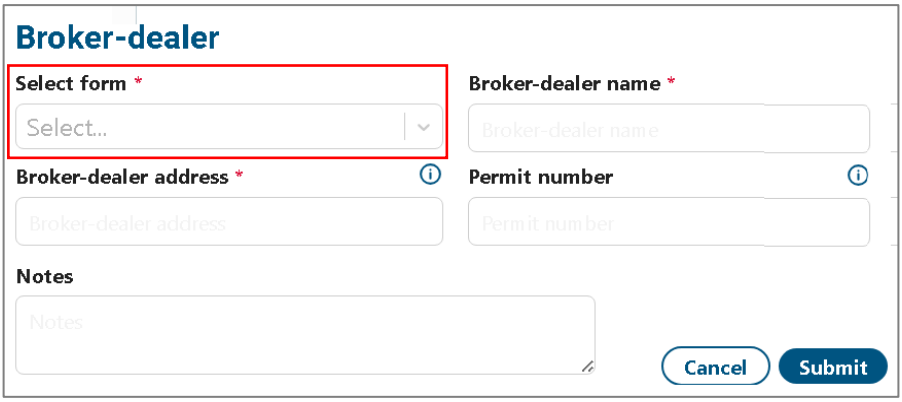


As described in **Section 3.1,** selecting a filing type will display specific fields associated with the filing.

Filing Types:

5.1. Broker-dealer

Selecting the **Broker-dealer** option will display **Broker-dealer** pop-up window.



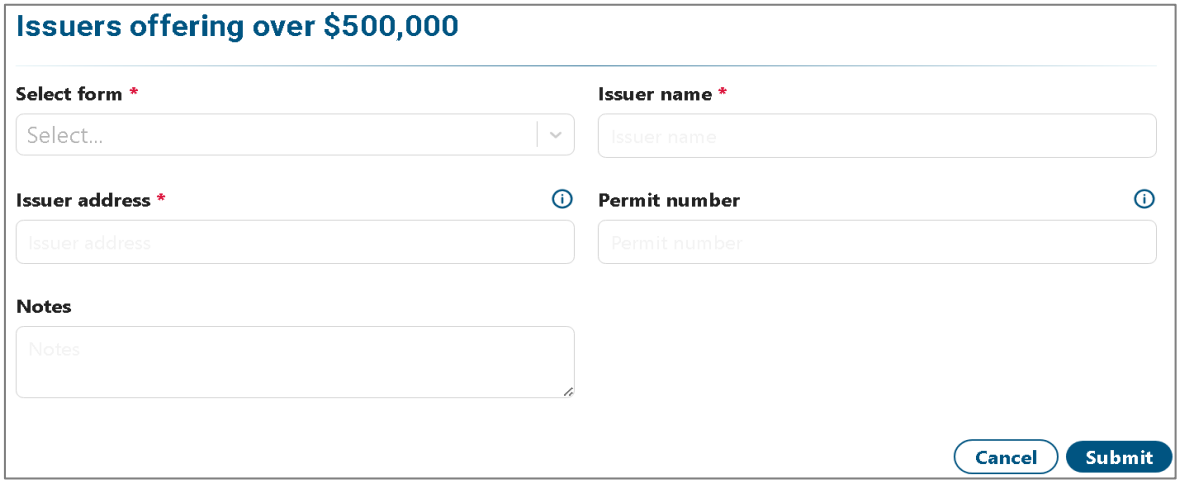
The options for the **Select form** field include: **M-1, M-11, Form99, NF** and **Uniform Notice Filing – Tier 2**.

Require fields are indicated by red asterisk *

- **Broker-dealer address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits

5.2. Issuers offering over $500,000

Selecting the **Issuers offering over $500,000** option will display **Issuers offering over $500,000** pop-up window.

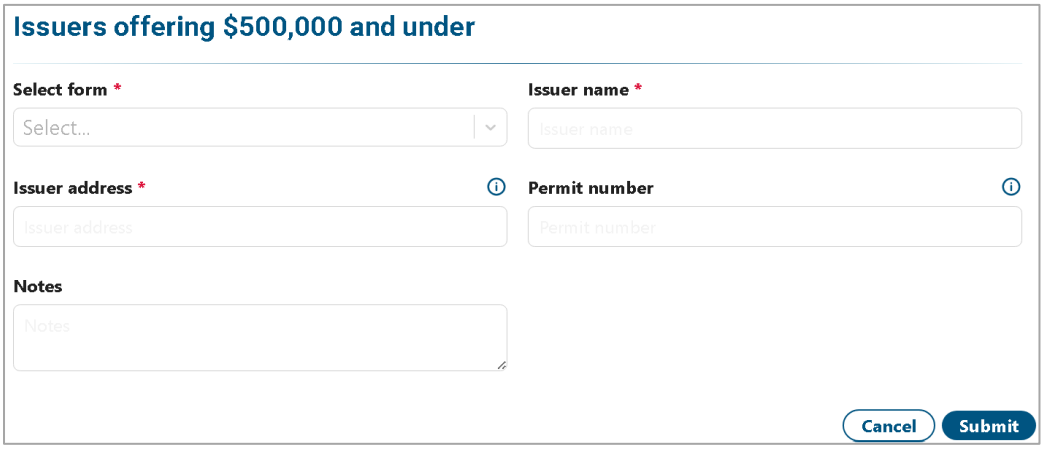


The options for the **Select form** field include: **M-1, M-11, Form99, NF a**nd **Uniform Notice Filing – Tier 2**.

- Require fields are indicated by red asterisk *
- **Issuer address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits

5.3. Issuers offering $500,000 and under

Selecting the **Issuers offering $500,000 and under** option will display **Issuers offering over $500,000** pop-up window.



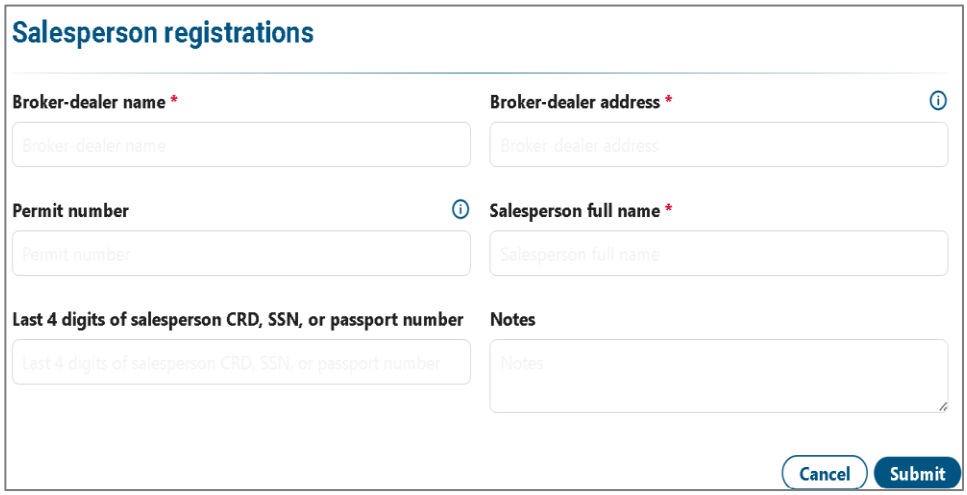
The options for the **Select form** field include: **M-1, M-11, Form99, NF** and **Uniform Notice Filing – Tier 2**.

Require fields are indicated by red asterisk *

- **Issuer address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.

5.4. Salesperson registrations

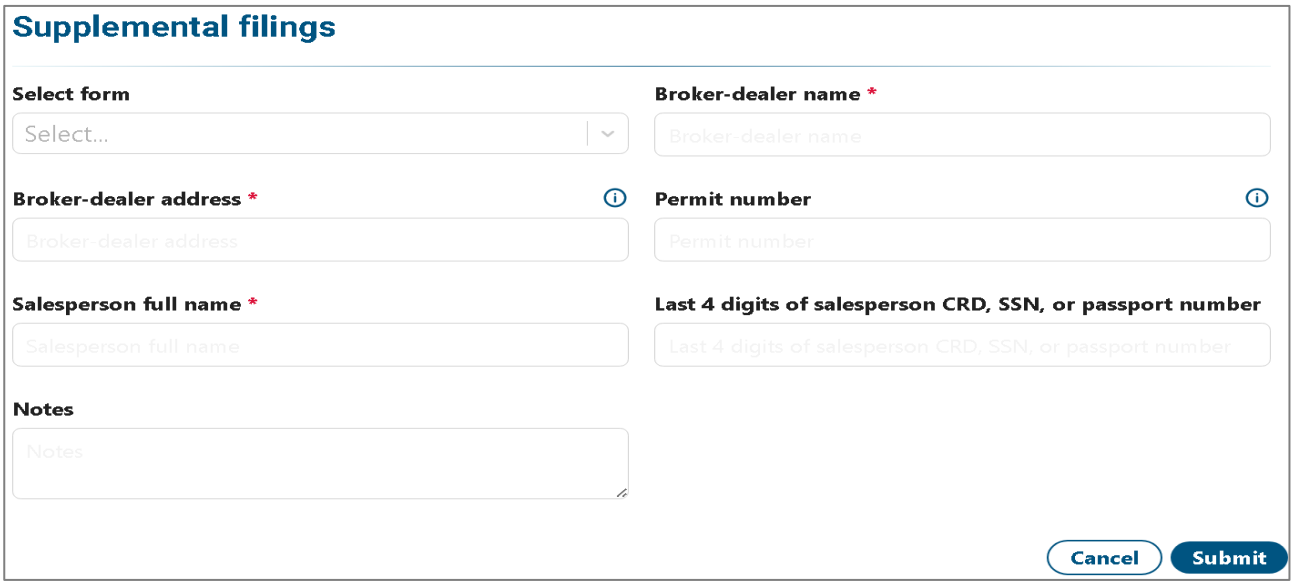
Selecting the **Salesperson registrations** option will display **Salesperson registrations** pop-up window.



- Require fields are indicated by red asterisk *
- **Broker-dealer address format**: Street address, City, State, Zip.
- **Permit number format**:
  S ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.

5.5. Supplemental filings

Selecting the **Supplemental filings** option will display **Supplemental filings** pop-up window.



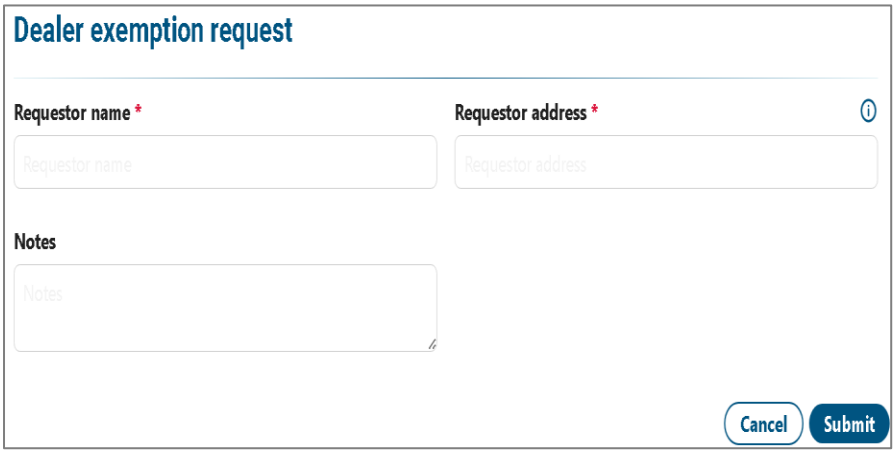
The options for the **Select form field** include**: M-3, M-4, Amended M-11, Amended Form 99, Amended NF and Amended Uniform Notice Filing – Tier 2.**

- Require fields are indicated by red asterisk *
- **Broker-dealer address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.

5.6. Dealer exemption request

Selecting the **Dealer exemption request** option will display **Dealer exemption request** pop-up window.

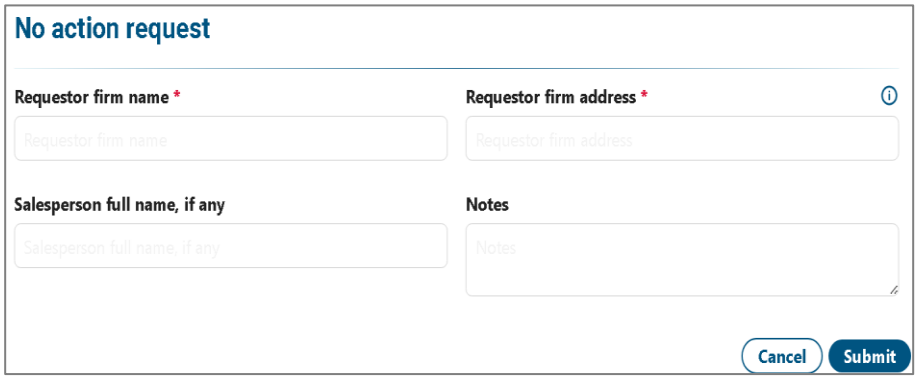
- Require fields are indicated by red asterisk *
- **Requestor address format**: Street address, City, State, Zip.



5.7. No action request

Selecting the **No action request** option will display **No action request** pop-up window.

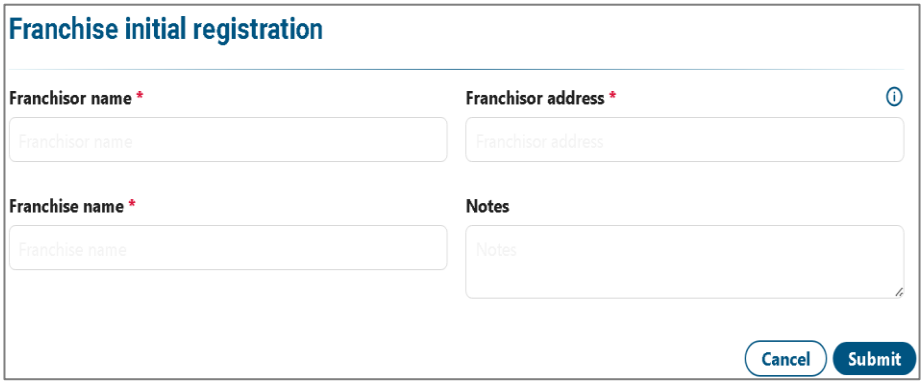
- Require fields are indicated by red asterisk *
- **Requestor firm address format**: Street address, City, State, Zip.



5.8. Franchise initial registration

Selecting the **Franchise initial registration request** option will display the **Franchise initial registration request** pop-up window.

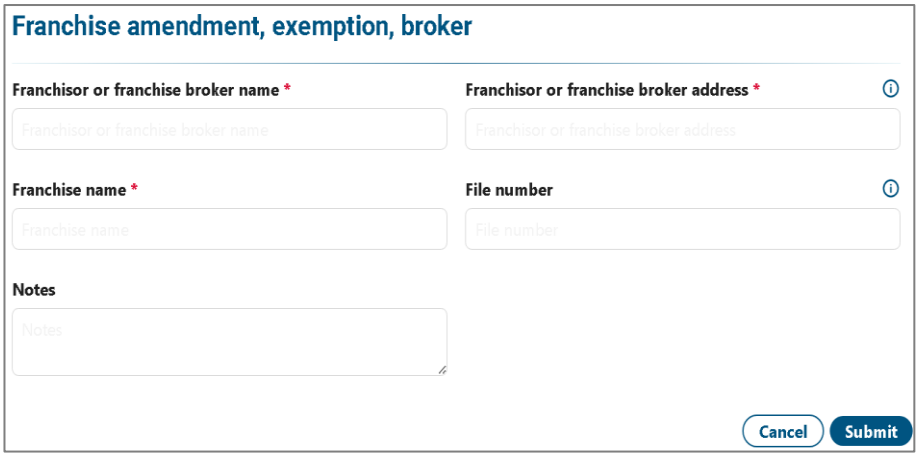
- Require fields are indicated by red asterisk *
- **Franchisor address format**: Street address, City, State, Zip.



5.9. Franchise amendment, exemption, broker

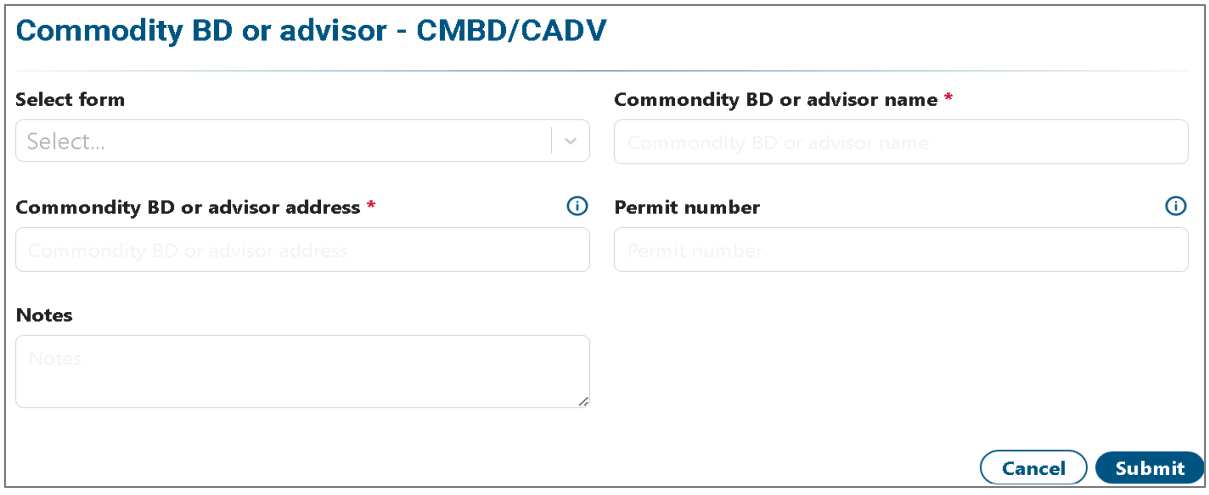
Selecting the **Franchise amendment, exemption, broker** option will display the **Franchise amendment, exemption, broker** pop-up window.

- **Require fields are indicated by red asterisk** *
- **Franchisor or franchise broker address format**: Street address, City, State, Zip
- **File number format**: Any file number should be of the format ##-#### and must contain only numbers.



5.10. Commodity BD or advisor – CMBD/CADV

Selecting the **Commodity BD or advisor – CMBD/CADV** option will display the **Commodity BD or advisor – CMBD/CADV** pop-up window.

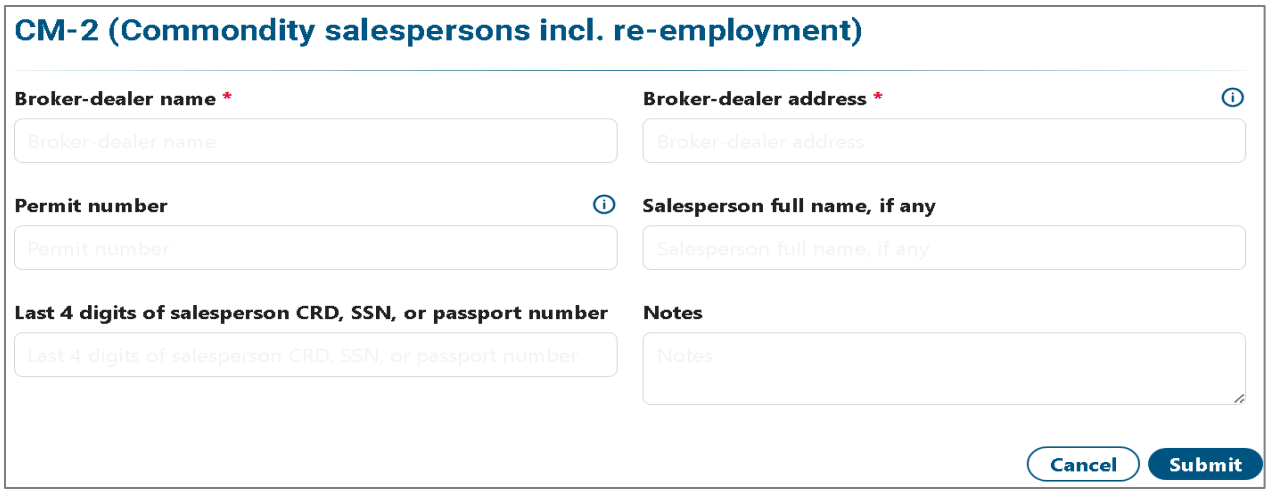


The options for the **Select form field** include**: CMBD** and **CADV.**

- Require fields are indicated by red asterisk *
- **Commodity BD or advisor address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.

5.11. CM-2 (Commodity salespersons incl. re-employment)

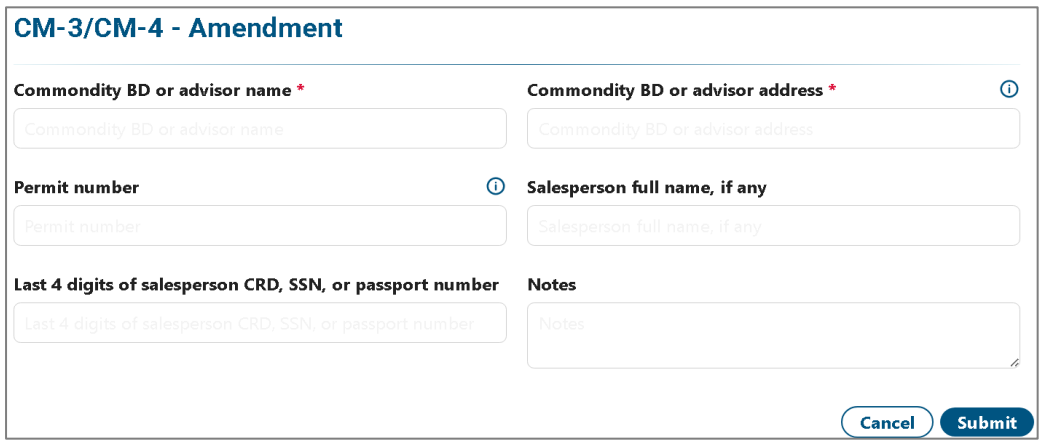
Selecting the **CM-2 (Commodity salesperson incl. re-employment)** option will display the **CM-2 (Commodity salesperson incl. re-employment)** pop-up window.



- Require fields are indicated by red asterisk *
- **Broker-dealer address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.

5.12. CM-3/CM-4 - Amendment

Selecting the **CM-3/CM-4 - Amendment** option will display the **CM-3/CM-4 - Amendment** pop-up window.



- Require fields are indicated by red asterisk *
- **Commodity BD or advisor address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.

5.13. Other

Selecting the **Other** option will display the **Other** pop-up window.

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.

- Require fields are indicated by red asterisk *
- **Commodity BD or advisor address format**: Street address, City, State, Zip.
- **Permit number format**: **S** ##-##-## or **C** ##-##-## or **i** ####-### or in a number format up to 6 digits.

