
DoBS Portal

External User Guide

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Document Purpose

The Commonwealth of Pennsylvania (CWOPA) Department of Banking and Securities (DoBS) has launched a DoBS Portal to allow for securities institutions to complete registrations, submit annual financial information, and respond to examinations. This document will provide the steps on how to use the DoBS Portal during investment adviser registration and submission of financial information.

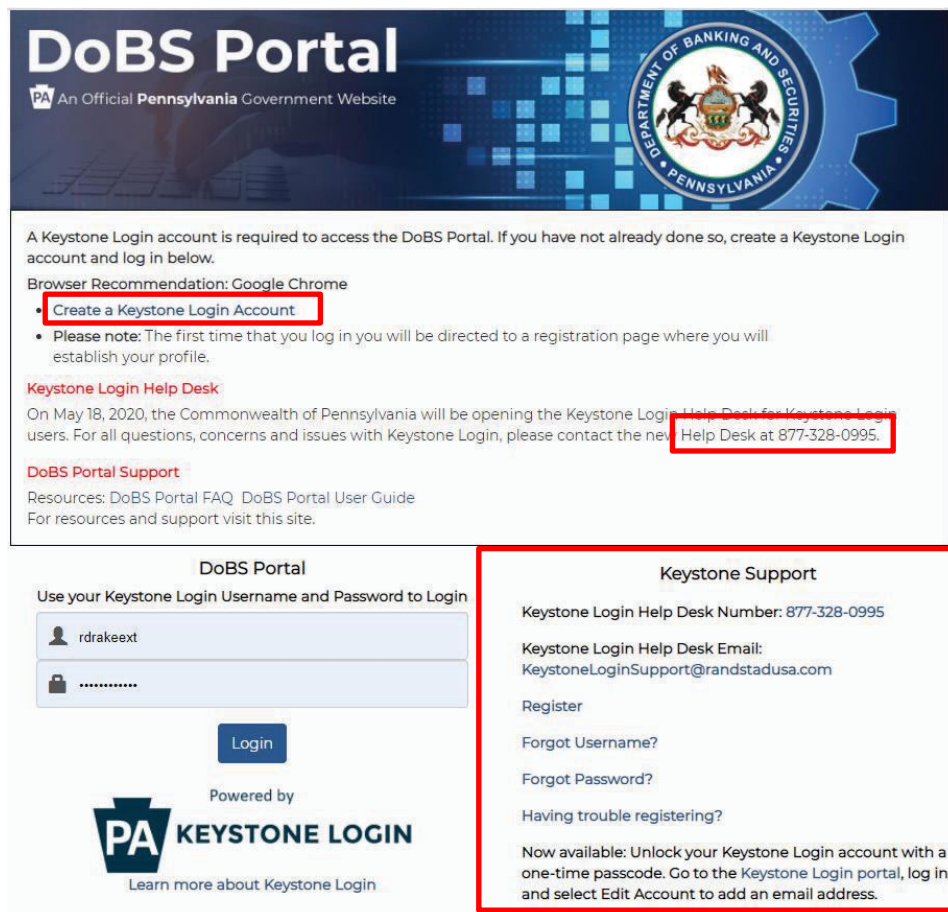
DoBS Portal Information

The DoBS Portal can be accessed using the URL provided below:

<https://www.portal.dobs.pa.gov/>

Access and User Authentication

The DoBS Portal uses Keystone authentication which is used across other Commonwealth of Pennsylvania websites. The user will need to create a Keystone Login Account to proceed with using the DoBS Portal. This document does not include any Keystone related documents, but links are available on the log-in screen for additional references.



The screenshot shows the DoBS Portal login page. At the top, it says "DoBS Portal" and "An Official Pennsylvania Government Website". Below this, it states: "A Keystone Login account is required to access the DoBS Portal. If you have not already done so, create a Keystone Login account and log in below." It then provides a browser recommendation for Google Chrome and a list of actions: "Create a Keystone Login Account" (highlighted with a red box) and "Please note: The first time that you log in you will be directed to a registration page where you will establish your profile." There are links for "Keystone Login Help Desk" and "DoBS Portal Support". Below the text is a login form with fields for "Use your Keystone Login Username and Password to Login", a username field containing "rdrakeext", a password field with dots, and a "Login" button. At the bottom, it says "Powered by PA KEYSTONE LOGIN" and "Learn more about Keystone Login". To the right of the login form is a "Keystone Support" section, also highlighted with a red box, containing the following information: "Keystone Login Help Desk Number: 877-328-0995", "Keystone Login Help Desk Email: KeystoneLoginSupport@randstadusa.com", and links for "Register", "Forgot Username?", "Forgot Password?", and "Having trouble registering?". A note at the bottom of this section says: "Now available: Unlock your Keystone Login account with a one-time passcode. Go to the Keystone Login portal, log in, and select Edit Account to add an email address."

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Step 1: Email Notification

The user will receive an email notification from PA DOBS Self-Service Portal. The subject will state "Pennsylvania Dept of Banking and Securities- Join Code Invitation". The email indicated on the organization's Form ADV filings or communicated to the assigned examiner will be used.

- Copy the join code
- Click the link to access the DoBS Portal.

Pennsylvania Dept. of Banking and Securities - Join Code Invitation

1 message

PA DOBS Self-Service Portal <donotreply@donotreply.com>
Reply-To: donotreply@donotreply.com
To: Mr. Smith <ssmith.@gmail.com>

Sat, Aug 14, 2021 at 6:39 PM

Mr. Smith,

You have received an invitation to join entity **XXX, LLC** registered in the Pennsylvania Department of Banking and Securities Self-Service Portal with the role of **Manager**.

To accept this invitation, please go to <https://www.portal.dobs.beta.pa.gov/ext/>, log in or create an account and enter your join code displayed below.

Your join code: XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX

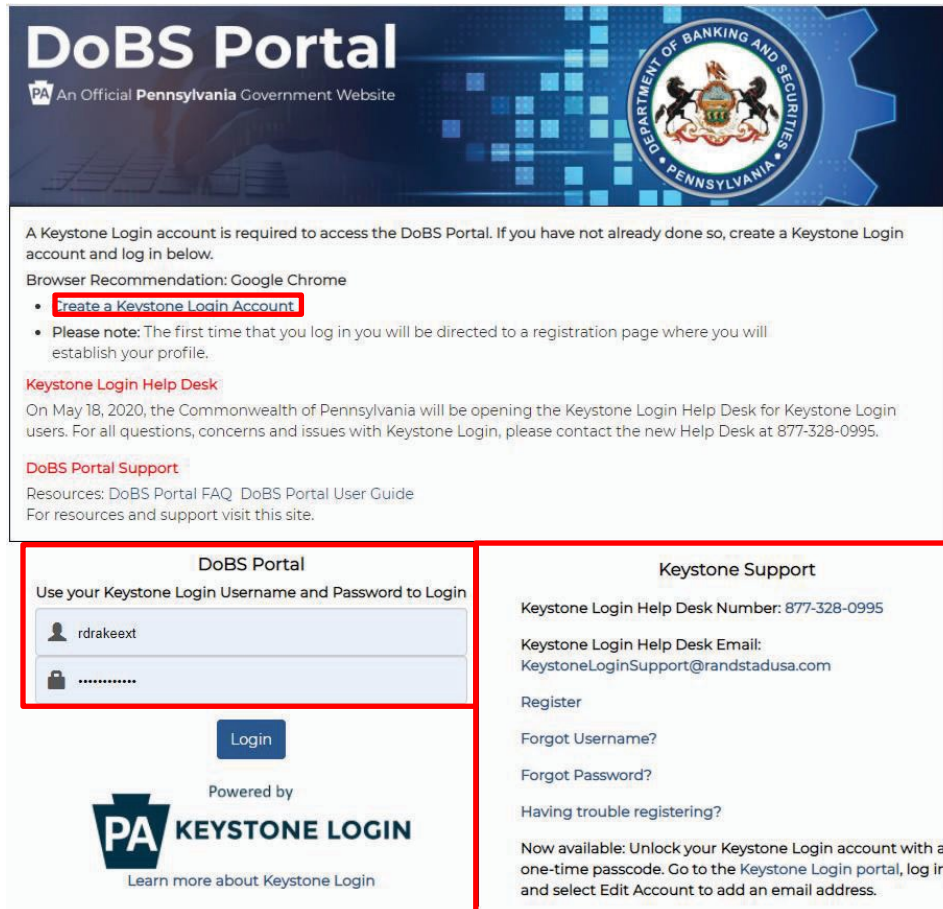
The information transmitted is intended for the person or entity to which it is addressed. Review, transmission, dissemination or other use by persons or entities other than the intended recipient is prohibited. If you received this message in error, please delete the material from any computer.

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Step 2: DoBS Portal

Once the user clicks the link in their email, the user will be directed to the Keystone Login page of the DoBS Portal.

- The user can either create a Keystone login account from this page or sign into their Keystone account.
- If the user encounters any Keystone login issues use the resources listed under Keystone Support.



DoBS Portal
PA An Official Pennsylvania Government Website

A Keystone Login account is required to access the DoBS Portal. If you have not already done so, create a Keystone Login account and log in below.

Browser Recommendation: Google Chrome

- [Create a Keystone Login Account](#)
- **Please note:** The first time that you log in you will be directed to a registration page where you will establish your profile.

[Keystone Login Help Desk](#)
On May 18, 2020, the Commonwealth of Pennsylvania will be opening the Keystone Login Help Desk for Keystone Login users. For all questions, concerns and issues with Keystone Login, please contact the new Help Desk at 877-328-0995.

[DoBS Portal Support](#)
Resources: [DoBS Portal FAQ](#) [DoBS Portal User Guide](#)
For resources and support visit this site.

DoBS Portal

Use your Keystone Login Username and Password to Login

[Login](#)

Keystone Support

Keystone Login Help Desk Number: 877-328-0995

Keystone Login Help Desk Email:
KeystoneLoginSupport@randstadusa.com

[Register](#)

[Forgot Username?](#)

[Forgot Password?](#)

[Having trouble registering?](#)

Now available: Unlock your Keystone Login account with a one-time passcode. Go to the Keystone Login portal, log in, and select Edit Account to add an email address.

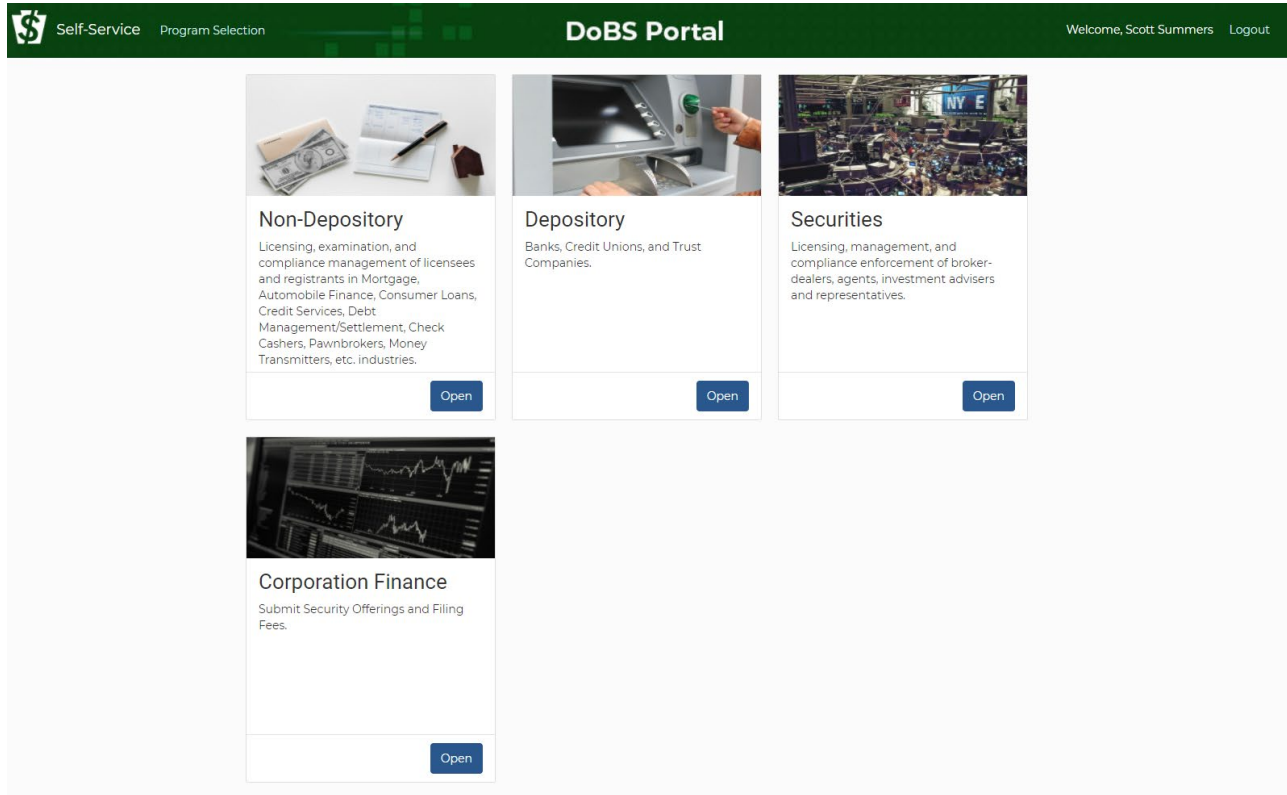
Powered by
PA KEYSTONE LOGIN
[Learn more about Keystone Login](#)

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Step 3: Program Selection

The DoBS Portal will be used by the different programs under the Pennsylvania Department of Banking and Securities. Once a user has logged-in successfully, the user will be prompted to select the Program that they need to access. This document is focused on the Securities program, selecting Securities would allow the user to proceed. For users with only Securities, they will only see the Securities tile.

The user should click [Open] to access the Securities Dashboard.



The screenshot shows the DoBS Portal interface. At the top, there is a green header with the DoBS logo, "Self-Service Program Selection", "DoBS Portal", and a user greeting "Welcome, Scott Summers Logout". Below the header, there are four program selection tiles, each with an image, a title, a description, and an "Open" button.

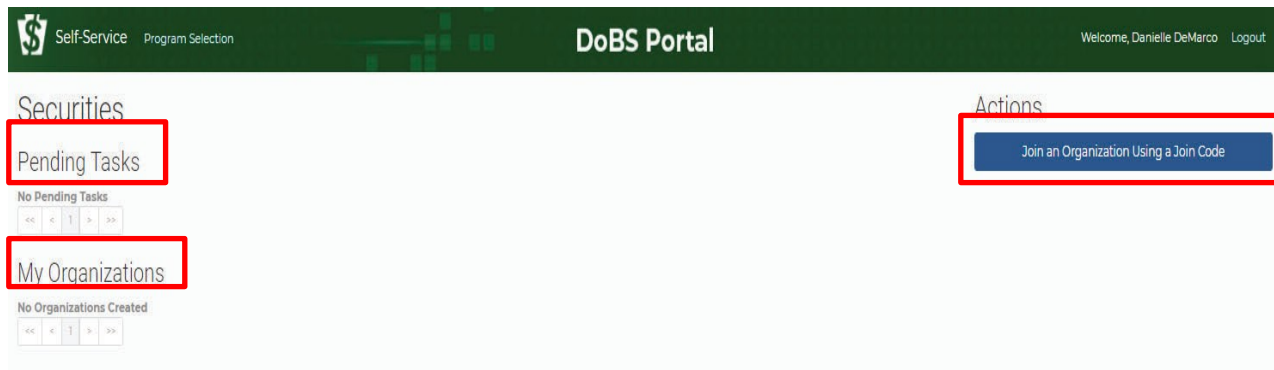
- Non-Depository**: Licensing, examination, and compliance management of licensees and registrants in Mortgage, Automobile Finance, Consumer Loans, Credit Services, Debt Management/Settlement, Check Cashers, Pawnbrokers, Money Transmitters, etc. industries.
- Depository**: Banks, Credit Unions, and Trust Companies.
- Securities**: Licensing, management, and compliance enforcement of broker-dealers, agents, investment advisers and representatives.
- Corporation Finance**: Submit Security Offerings and Filing Fees.

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Step 4: Securities Dashboard

The user will be directed to the Securities Dashboard page.

- The Dashboard will show the [Pending Tasks], [My Organizations] and [Join an Organization Using a Join Code].



Join an Organization

- The user will click [Join an Organization Using a Join Code] and paste the join code from the email into the box and click [Submit].
- This step **must be completed first** or the user will not receive any task(s) or notifications from the Licensing Examiner and/or Accountant.



- Once the user successfully joins an organization, they will receive their first [View Notification] located under [Pending Tasks].
- The user will need to click [Open] to access the notification.

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[Initial Notification]

The initial notification will acknowledge DoBS's receipt of the investment advisor application and provide the assigned examiner's name and phone number.

- Before clicking [Acknowledge] the user should either print the page or write down any necessary information. Once the user clicks [Acknowledge] the user will not have access to the information.

Initial Notification

[Home](#) / [View Notification](#)

We are in receipt of the initial Investment Advisor application for After the Fact, LLC, submitted to the Pennsylvania Department of Banking and Securities.

The following examiner is assigned to your application and will be in contact for the next steps in the application process.

Staci Morcom
Phone #(717) 783-4217

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SAVE OR PRINT before clicking the Acknowledgement button. Access to documents WILL BE LOST once Acknowledgment is clicked.

Acknowledge

My Organization

The Organization(s) that the user has joined will be shown in this section. If the user has joined more than one Organization, all Organizations will be listed.

My Organizations

Applicant Legal Name Robs	CRD Number 123456
Applicant Legal Name Walk Through, LLC	CRD Number 45678
Applicant Legal Name After the Fact, LLC	CRD Number 224224

Pending Tasks

Once you have joined an Organization you will be able to review and work any pending task(s) or notification(s) that have been issued / assigned to the organization.

- The [Pending Tasks] screen is used by the external user to communicate with DoBS and respond to registration and financial.
- The [Pending Tasks] section notifies the user there is a task to open and process.
- The user will click [Open] to access the pending task.
 - The user will review the task or notification and process as applicable.

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Pending Tasks Examples

The user will receive either a task or notification in the [Pending Tasks] section.

A task is an action item; the user will need to respond or submit information to the Licensing Examiner and / or Accountant.

A notification is a message from the Licensing Examiner and /or Accountant. The user will have to [Acknowledgement] the notification to process and remove from [Pending Tasks].

[Initial Notification]

The initial notification announces the receipt of the new investment adviser registration request, the assigned Licensing Examiner, and their contact information.

[Respond to Correspondence]

This task is used to securely communicate, provide, and /or request information between the Licensing Examiner or the Accountant and the organization.

- [Open] the task
- Review any messages sent from the Licensing Examiner, and/ or Accountant.
- Add any comments for the Licensing Examiner and/or Accountant.
 - Note: Do not include any pertinent information in the comment section as these comments are not captured.

Home / Respond to Correspondence

DoBS Contact Name Staci Morcom

Contact Date 08/14/2021

Correspondence

Message From DoBS Initial Department letter

Please be advised that all representations in your response are subject to the penalties of 18 Pa. C.S. §4904 (relating to unsworn falsification to authorities). Furthermore, your response will be considered a document filed with the Department of Banking and Securities for purposes of Section 407 of the 1972 Act, 70 P.S. §1-407.

Reply Comments Do not include pertinent information in this section

Documents

Document List	Document	Document Type
	1 EXAMINER DEF.docx	Licensing - Registration

Attach file(s) for Correspondence

Upload Financial Documents? * Yes No

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- Documents section
 - This section will contain any documents that are sent by the Licensing Examiner and/or Accountant. Click the document hyperlink to open any document(s).
 - User will need to save all documents to their personal device. The user will not have future access to documents once the registration is approved.
- Attach file(s) for Correspondence section
 - Click [Attach Files] to upload documents that the user would like to securely submit to the Licensing Examiner and/or Accountant.
- Upload Financial Documents
 - If your principal place of business is Pennsylvania and the Firm is required to submit documents in accordance with [10 Pa. Code § 303.042. Investment adviser capital requirements](#)
 - Click “Yes”
 - Attach Financial Documents
 - Enter the Organization’s Fiscal Year End
 - If your principal place of business is in Pennsylvania or out of state and the firm is NOT required to submit financial documents
 - Click “No”
- Once the user has included any comments and uploaded the necessary documents click [Submit].
- The task will be removed from the users [Pending Tasks]. If the user clicks [Cancel], the task remains in the user’s pending task and the Licensing Examiner and / or Accountant will NOT receive a response from the user.

****NOTE**** If multiple users “join” an organization (Ex. firm contact & compliance firm) both users will receive notification / pending tasks in their email and both users will show the same task in their [Pending Tasks]. Once one of the users completes the task the task will be removed from both the users [Pending Tasks]. This is to avoid both users with access to the same organization from processing the same task.

[\[Registration Decision Notification\]](#)

The user will be notified that a decision has been made regarding the registration.

- The user will open & save all documents.
- The user will not have access to the documents after the user clicks [Acknowledge]


Registration Decision Notification

Home / View Notification

The Pennsylvania Department of Banking and Securities has made a decision on August 19, 2021 regarding your registration. Documents are now available for download.

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SAVE OR PRINT before clicking the Acknowledgement button. Access to documents WILL BE LOST once Acknowledgment is clicked.

 Approval Letter.docx

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[\[Submit Annual Financial Statements\]](#)

This task is used to securely communicate, provide, and /or request information between the Accountant and the organization.

- [Open] the task
- Review any internal comments from the Accountant.
- Verify and/or update the organization’s fiscal year end.
- Add any external comments for the Accountant.
 - Note: Do not include any pertinent information in the comment section as these comments are not captured.
 - Attach the requested documents

Submit Annual Financial Statements for

DBA Name	CRD Number	Non FINRA Number
	45678	

[Home](#) / [Submit Financials](#)

Additional Information Requested

Internal Comments	[Staci Morcom - 08/18/2021 12:02 PM] Need additional information
Internal Files	No Documents

Financial Statement Submission

Fiscal Year End Date *	<input type="text" value="12/31/2021"/> <input type="button" value="📅"/>
External Comments	<div style="border: 1px solid #ccc; padding: 5px; min-height: 40px;"> Do not include pertinent information in this section </div>

Financial Documents

Attach file *	<input type="button" value="Attach Files..."/>
	<div style="border: 1px solid #ccc; padding: 5px; display: flex; align-items: center;"> <div style="margin-right: 10px;">📄</div> Balance Sheet.docx <div style="margin-left: auto; text-align: right;">✕</div> </div>

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[\[Financial Statement Acceptance Notification\]](#)

The user will receive a notification to [Acknowledge] the financial statement was in compliance and has been accepted.

Once the user clicks [Acknowledge] the message will be removed from pending tasks.

Financial Statement Acceptance

[Home](#) / [View Notification](#)

Thank you for your balance sheet as of Dec 31, 2021. Your submission has been reviewed and determined your firm to be in compliance with Department Regulation §304.022 et al as applicable.

Should you have any questions, please do not hesitate to contact Staci Morcom at smorcom@pa.gov.

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[Acknowledge](#)