



## THE GEORGIA ARCHIVES

### Records and Information Management Services State Agency Specific Schedules For SOS-Securities

| <b>Record Title</b>   | <b>Description</b>  | <b>Retention</b> | <b>Legal Citation</b> | <b>Retention Classification</b> | <b>Archival Instructions</b> | <b>Number</b> |
|---|---|------------------|-----------------------|---------------------------------|------------------------------|---------------|
| Cemetery and Funeral Services Registration Files  |   | 10 years         |                       | Temporary - Short Term          |                              | 0478-005      |
| Charitable Organizations, Professional Fund Raisers, & Professional Solicitors Registration Files | Documents relating to the registering charitable organizations (form C-100) and paid solicitors (form S-100 | 10 years         |                       | Temporary-Short Term            |                              | 99-0017       |
| Company License Permit Files  | Documents relating to licensing companies to regulate sale of securities in the State of Georgia            | 1 year           |                       | Temporary-Short Term            |                              | 81-197        |

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|--|---|------------------|-----------------------|---------------------------------|------------------------------|---------------|
| Hearings and Pleadings Files                         | Documents relating to official Administrative proceedings held by the Securities & Business Regulation Division of the Office of Secretary of State                               | Permanent        |                       | Permanent                       |                              | 2000-02       |
| Incomplete/Withdrawn Securities Dealers Applications | documents relating to applying for registration as a securities dealer  | 1 year           |                       | Temporary-Short Term            |                              | 81-34         |
| Interstate Issuers Securities Regulations            | Documents relating to issuing permits to issuers of securities registered with the United States Securities and Exchange Commission, and applying for a permit to sell securities | 15 years         |                       | Temporary-Long Term             |                              | 81-196        |

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|---|--|------------------|-----------------------|---------------------------------|------------------------------|---------------|
| Interstate Mutual Fund Files              | Documents relating to issuing permits to issuers of securities registered with the United States Securities and Exchange Commission, applying for a permit to sell securities          | 15 years         |                       | Temporary-Long Term             |                              | 81-190        |
| Intrastate Securities Issuer Registration | Registration by qualification, registration by notification, small issue registration, nonprofit issuer registration, and documents and correspondence relating to these registrations | 10 years         |                       | Temporary-Short Term            |                              | 99-0015       |

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|---------------------------------------|---|------------------|-----------------------|---------------------------------|------------------------------|---------------|
| Investment Advisor Registration Files | Documents relating to review, examination, and issuance of a certificate of registration to give investment advice in Georgia | 10 years         |                       | Temporary-Short Term            |                              | 99-0016       |
| Securities Dealer Registration Files  | Documents relating to registration, renewal, and withdrawal/termination of broker dealers                                     | 10 years         |                       | Temporary-Short Term            |                              | 2000-01       |
| Securities Dealer Registration Files  | Documents relating to registering persons as securities dealers   | 5 years          |                       | Temporary-Long Term             |                              | 221-A         |

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|---|--|------------------|-----------------------|---------------------------------|------------------------------|---------------|
| Securities Dealers Registration Renewals and Amendments | Documents relating to amending and renewing on an annual basis the registration of securities dealers, and reviewing of quarterly financial statements | 5 years          | O.C.G.A. 10-5-3(h)    | Temporary-Short Term            |                              | 89-079        |
| Securities Investigations Files (Closed)                | Documents relating to conducting investigations of legal improprieties in the sale of intra and inter-state securities                                 | 10 years         | O.C.G.A 10-4-14       | Temporary-Short Term            |                              | 73-568-A      |
| Securities Investigations Files (Closed)                | Documents relating to conducting investigations of legal improprieties   | 10 years         |                       | Temporary-Short Term            |                              | 19730568-04   |

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|--|---|------------------|-----------------------|---------------------------------|--|---------------|
| Securities Issuers Exemptions 97-107(J) Files                            | Documents relating to the exemption under Ga.Code Ann 97-107 (J) of issuers from registration requirements of the Securities Act                | 2 years          |                       | Temporary-Short Term            | Transfer to Archives for permanent retention | 73-60         |
| Securities Salesman Registration Files                                   | Documents relating to the review, examination, approval and withdrawal of registration to act as a non-NASD salesperson in the State of Georgia | 10 years         |                       | Temporary-Short Term            |  | 2000-03       |
| Securities Salesman's Examination Files                                  | Copies of securities salesman examination   | 5 years          |                       | Temporary-Short Term            |  | 219           |
| Securities Salesman's Registration Files In-Active Salesman's Card Files | Documents relating to Securities Salesman's registration files  | 50 years         |                       | Temporary-Long Term             |  | 74-32         |

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|--|--|------------------|-----------------------|---------------------------------|------------------------------|---------------|
| Withdrawn/Abandoned Securities Salesman Applications | Documents relating to applying for registration as a securities salesman | 1 year           |                       | Temporary-Short Term            |                              | 81-35         |

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