



THE OFFICE OF SECRETARY OF STATE
SECURITIES & CHARITIES DIVISION

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The mission of the Division is to protect Georgia investors by encouraging a safe and healthy financial services sector in the State of Georgia.

Pursuant to O.C.G.A. § 10-5-35, the Georgia Commissioner of Securities requires a fingerprint background check for all applicants requesting registration as an investment adviser representative or broker-dealer agent.

The following instructions outline the steps to submit fingerprints to fulfill the background check requirement for investment adviser representative (RA) and broker-dealer agent (AG) applicants for the State of Georgia.

All RA applicants for Georgia registration are placed into the queue for manual review. The Division reviews all RA applicants through the manual review queue. If fingerprints are required for a RA applicant, the Division will issue a deficiency notice asking for fingerprints.

Georgia has a manual review for AG applicants who get flagged into the queue for a manual review. Conditions that trigger a manual review for an AG applicant include, but are not limited to, the existence of disclosure history or the lack of the required examinations(s). The Division reviews all AG applicants who are in the manual review queue. If fingerprints are required for an AG applicant who is in the manual review queue, the Division will issue a deficiency letter asking for fingerprints.

I. Directions for GEMALTO GAPS Registration Process for Applicants Using GEMALTO

For applicants **without** fingerprints on file with FINRA, Georgia uses the Georgia Applicant Processing Service (GAPS), a service of GEMALTO, to complete the fingerprinting for the background check. **If you require assistance, you may contact GEMALTO/GAPS at 1-888-439-2512.**

Applicants using GEMALTO/GAPS must register online prior to submitting any fingerprint cards.

1. Visit the GAPS website at <https://www.aps.gemalto.com/ga/index.htm>
2. Select Applicant Registration option;
3. Select Secretary of State (SOS) option;
4. Select Investment Adviser Rep/Agents/Dealers option;
5. An online application window shall appear, all of the fields in yellow must be completed;
6. At the top of the application, you will see a heading entitled Transaction Information. In this area you must enter the following:
 - a. Reviewing Agency ID: GA922974Z
 - b. Reason: Sec of State – Broker-Dealers, Agents, Invest Advis/Sales Persons

7. If you are submitting ink fingerprints cards, please check the box labeled, “*Fingerprint Card User*” and follow instructions.

Once the online registration is complete, the Applicant will need to take a copy of the registration confirmation to a local GEMALTO vendor to have his/her fingerprints electronically scanned. Locations and hours of operation may be found at the following link: <https://www.aps.gemalto.com/ga/index.htm> under the “Find A Fingerprint Location” tab.

GEMALTO will scan the Applicant’s fingerprints and submit the images to the State of Georgia. Results of the background check will be submitted directly to the Division.

II. Mailing Fingerprint Cards to GEMALTO for Applicants Using GEMALTO

If there is no local GEMALTO vendor in your area, you must mail fingerprint cards directly to GEMALTO.

Paper fingerprint cards may be acquired, via mail, by emailing registrations@sos.ga.gov.

Requests for fingerprints cards **must** be initiated by the Applicant’s registering firm along with a current mailing address.

It is suggested that the Applicant submit three (3) fingerprint cards for processing. In the event of a rejection, the backup cards may be utilized. Any fingerprint card that does not meet the expected submission standards for quality will be returned to the Applicant, un-processed, with the Applicant’s payment.

Please note: You must register online with GEMALTO before mailing your fingerprint cards to GEMALTO. (See instructions in ITEM 1). You must include the Registration ID (obtained online during registration) on the back of the fingerprint card.

All paper fingerprint cards must be sent directly to:

**Gemalto Cogent, Georgia CardScan
APS Department #165
2964 Bradley Street
Pasadena, California 91107**

Payment: Payment may be made online. Applicants may pay online at the time of registration using a credit/debit card.

III. Information for Applicants with Fingerprints on File with FINRA

If the Applicant’s fingerprints have been previously submitted for review to the Central Registration Depository (“CRD”) in connection with a federal or state licensing, the Commissioner may review and rely upon the criminal history reported pursuant thereto. At this time, the Commissioner has determined that any Applicant seeking registration as an investment adviser representative (“RA”) is not required to submit fingerprints directly to the Commissioner if he/she is **registered in Georgia** a broker dealer agent (“AG”).