

THE OFFICE OF SECRETARY OF STATE SECURITIES & CHARITIES DIVISION

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SECRETARY OF STATE
COMMISSIONER OF SECURITIES

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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. <u>Directions for Georgia's Applicant Processing System (GAPS) Registration Process for Applicants Using</u> FIELDPRINT

For applicants <u>without</u> fingerprints on file with FINRA, Georgia uses the Georgia Applicant Processing Service (GAPS), a service, FIELDPRINT, to complete the fingerprinting for the background check. If you require assistance, you may contact FIELDPRINT at 1-800-799-1067 or customerservice@fieldprint.com.

Applicants using FIELDPRINT/GAPS must register online.

- 1. Visit the FIELDPRINT website at https://fieldprintgeorgia.com/individuals,
- 2. Follow these instructions: Fieldprint Applicant Registration Steps.pdf (state.ga.us) or see attachment A;
- 3. Create a User Profile;
- 4. Under "New Applicant Registration" select Secretary of State (SOS):
 - a. Select "Investment Adviser Rep/Agents/Dealers" option;
 - b. If asked for Reason For Fingerprinting: select Sec of State Broker-Dealers, Agents, Invest Advis/Sales Persons;
 - c. If asked, the Reviewing Agency ID is GA922974Z;

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Georgia Fingerprint Policy

Revised: May 1, 2023

- 5. Data Collection: enter in all required personal information;
- 6. Demographics: enter in all required information;
- 7. Authorizations: review the Biometric Disclosure and the GA Privacy Statements;
- 8. Send Request to Review: ***MUST SELECT -SUBMIT REQUEST-***
- 9. Please note that You will be notified once the organization or agency has reviewed and approved your request.
- 10. If your request was approved, log back into FIELPRINT and continue scheduling;
- 11. Schedule your appointment and continue to Payment.
- 12. *OUT OF STATE APPLICANTS PLEASE READ: If a Livescan location is unavailable within the contracted range, the system will offer you the ability to request an ink card packet. This also will be the method used if you are located out of state. To request print cards:
 - (a) Click **Request Printcard Packet.** This will trigger a request to Fieldprint for a packet containing two barcoded fingerprint cards, instructions, and a return envelope to be mailed to your address.
 - (b) Completed packets should be returned to:

Fieldprint, Inc.
PO Box 407
Marlton, NJ 08053

II. 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 and can be accessed by the Division, 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 has an ACTIVE **registration in Georgia** a broker dealer agent ("AG").

**Please note that the Georgia Secretary of State Securities and Charities Division <u>cannot</u> provide Fieldprint support or assistance.

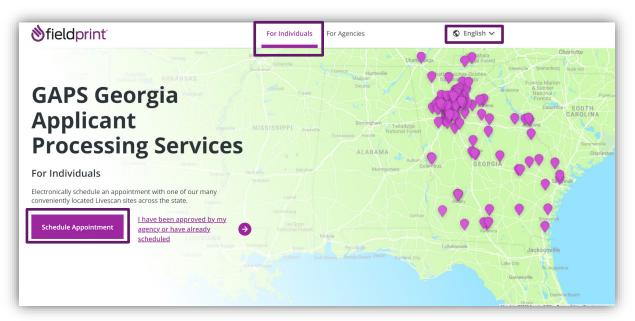


GEORGIA GAPS: Fieldprint Scheduling USER GUIDE

Fieldprint maintains a specific website to support Georgia's Applicant Processing System. This site will not only allow applicants to register online and schedule a fingerprint appointment, but also guide entities through the necessary steps to sign up to become a requesting agency.

Getting Started

To begin scheduling go to https://www.fieldprintgeorgia.com, also viewable in Spanish by clicking the language dropdown. This site will provide valuable information about the fingerprinting process, helpful FAQs, and contact information. To get started, click **Schedule Appointment** under the **For Individuals** page.



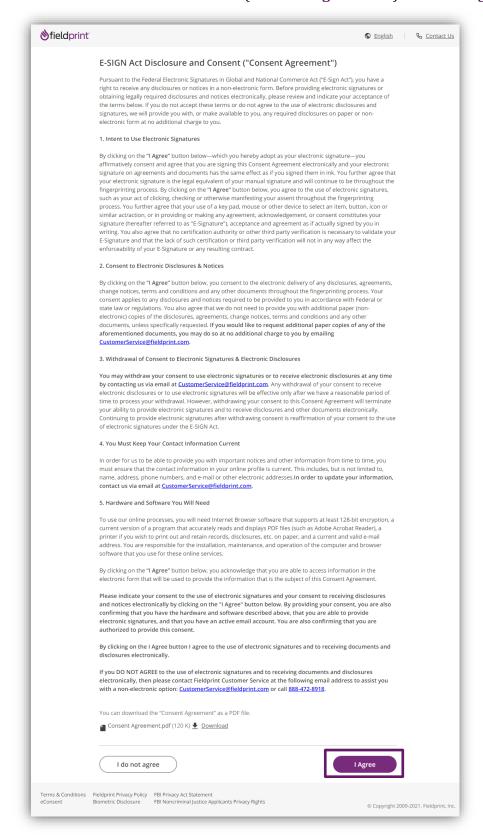
Creating a User Profile

New users need to create a new user account by clicking **Sign Up**. The Sign Up wizard will walk you through the steps to set up an account, culminating in a verified account that will be used to schedule fingerprints. Returning users can simply **Log In**.





Read over the E-SIGN Act Disclosure and Consent ("Consent Agreement") and click I Agree.

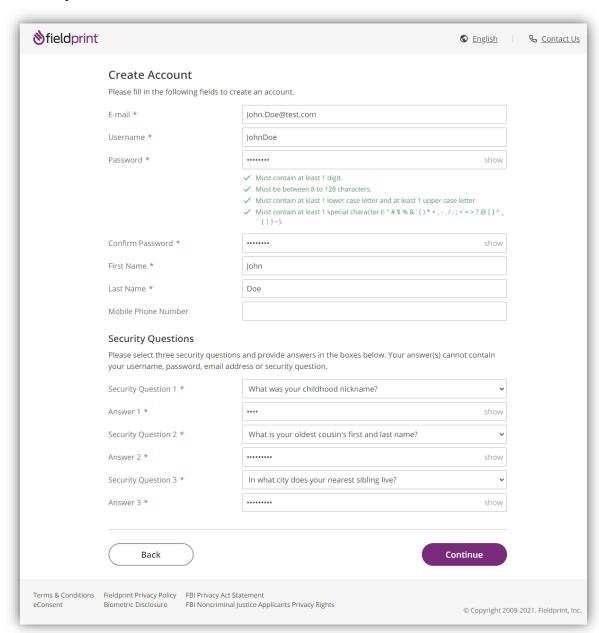




The next page will prompt you to create your account. You will need to enter your e-mail address, first name, and last name, and set your password. Passwords must be between 8-128 characters long, must contain one number, one capital letter, one lower case letter, and one special character. Passwords are case-sensitive. The password rules are provided on the Sign Up page for reference.

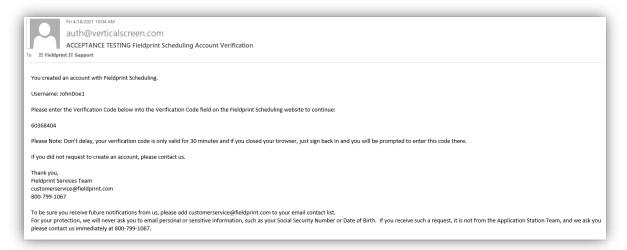
You will also be prompted to enter three security questions and their answers. This will be used to verify your identity in the event that you forget the password in the future. The questions must be from the preset list and you cannot provide the same question or answer twice.

Enter all required fields and click Continue to move forward.

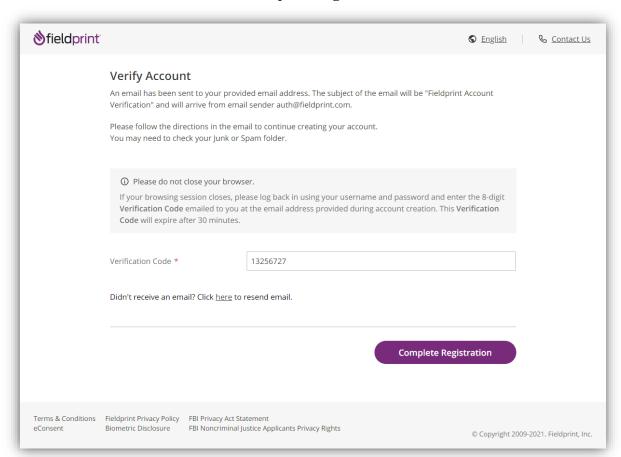




An email will be sent to your provided email address. Check your email for the verification code and enter it on the next page. Do not close your browser. The code will expire after 30 minutes. See below for an example of the email that will be sent.

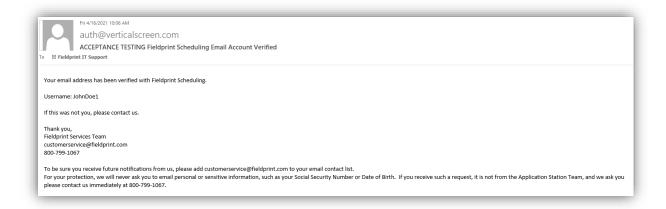


Enter the code from the email and click Complete Registration to move forward.



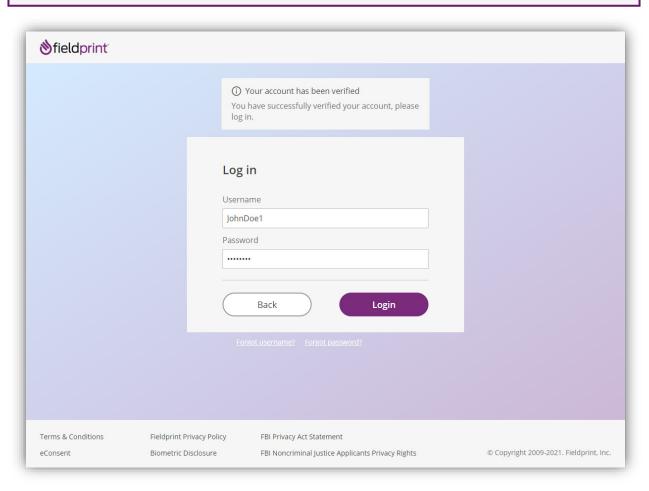


You will also receive an email confirming that your email address has been verified.



Once your account has been verified, you will be able to log in to the Fieldprint scheduling site using your credentials.

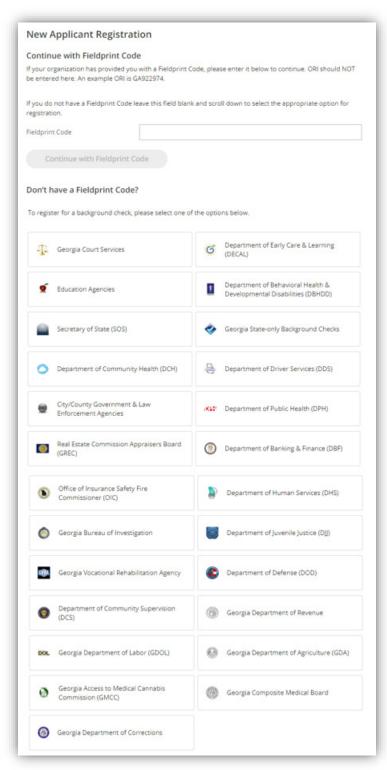
Please note: You may retrieve your username or password should you forget them by using the "Forgot username?" or "Forgot password" buttons.





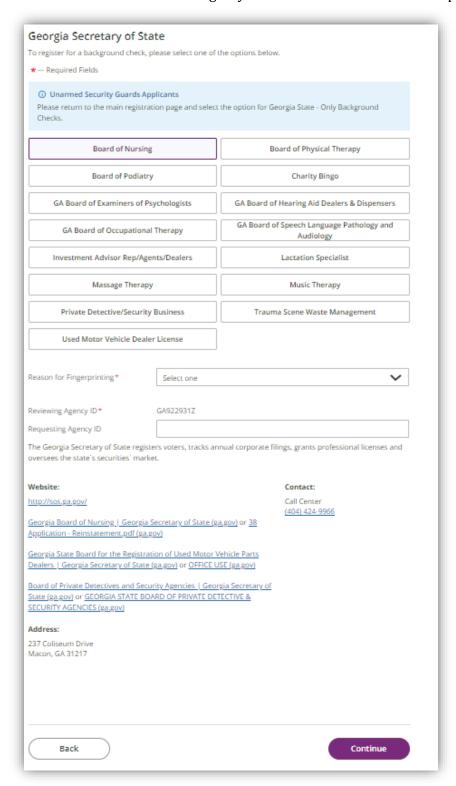
New Applicant Registration

You will have a choice to enter either a **Fieldprint Code** (if provided by your employer or organization) <u>or</u> select the appropriate agency from the tiles provided below the Fieldprint code.





If you select an agency, you could be asked to specify the reason and Requesting Agency (if applicable). Useful links to resources for that agency are located at the bottom of the page.

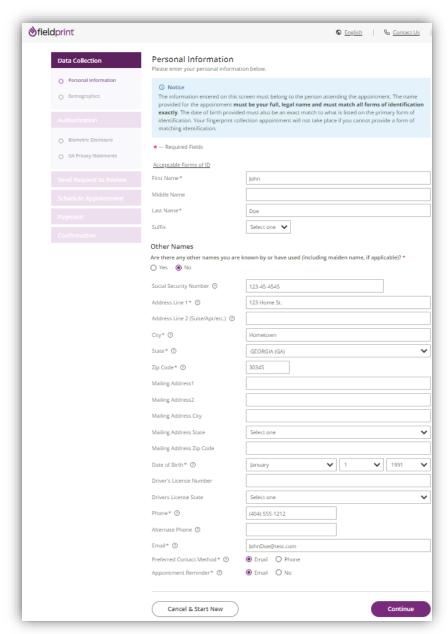




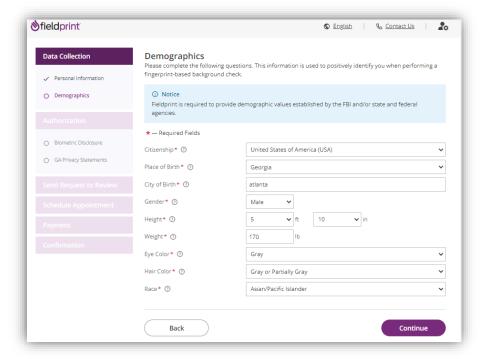
Data Collection

You will begin the Data Collection process by entering in all required **Personal Information**. Ensure that the information entered is consistent with the IDs you will be presenting at fingerprinting. A list of acceptable forms of ID is linked at the top of the page. This information should match what is on file with your Georgia agency, and discrepancies with this information could result in delays. Data fields are consistent with GBI and FBI standards.

You can enter in aliases by selecting Yes under Other Names. At the bottom, the preferred contact method will allow Fieldprint to reach you in the event of an issue. You may also elect to have an appointment reminder. Once all information is entered, click **Continue**.

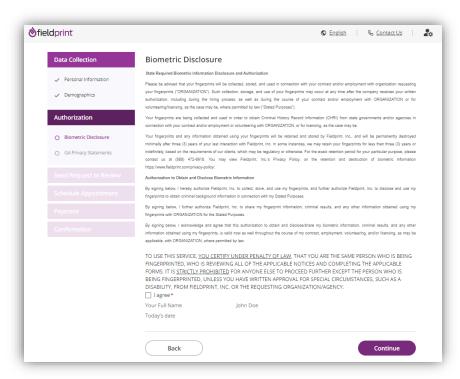


Next, enter all **Demographics** required for the fingerprint check.

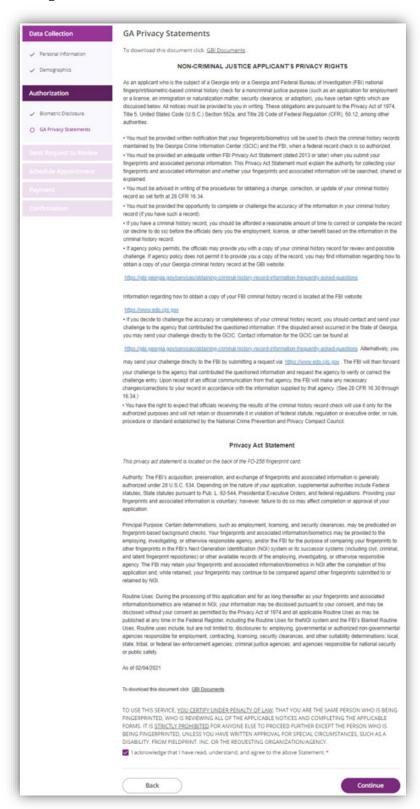


Authorizations

You will next review the **Biometric Disclosure**. Click **I agree** and enter your full name to consent, and click **Continue** to move forward.

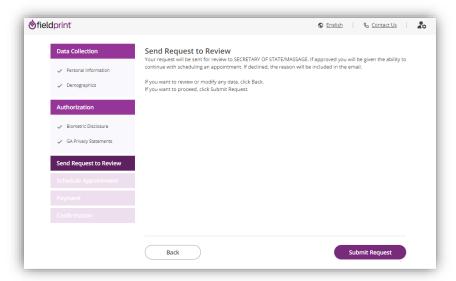


You will next review the **GA Privacy Statements**. Click the box next to "I acknowledge that I have read, understand, and agree to the above statements."

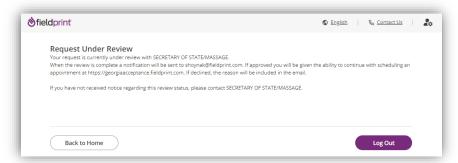


Send Request to Review

If you selected a Reason that requires Agency Approval, you will see the **Send Request to Review** page. Clicking **Submit Request** will submit your request for review by the Georgia organization or agency listed. Otherwise, you will proceed directly to the **Schedule Appointment** page.



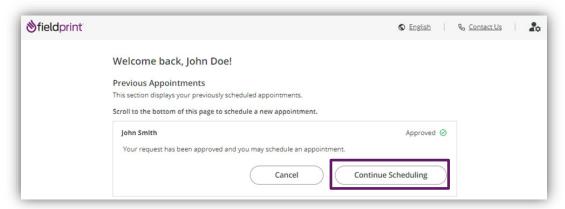
Submitting the request will put the request under review.



You will be notified once the organization or agency has reviewed and approved your request.

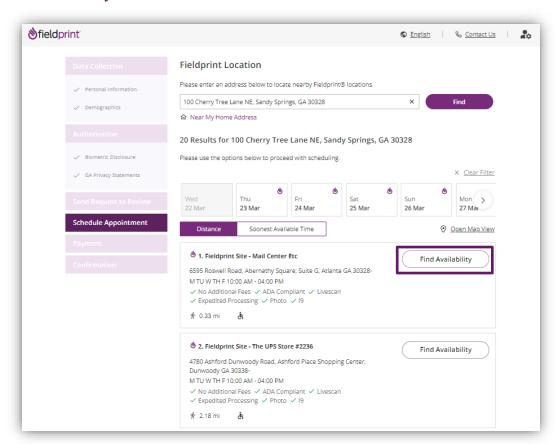


When you log back in, the system will prompt you to Continue Scheduling.

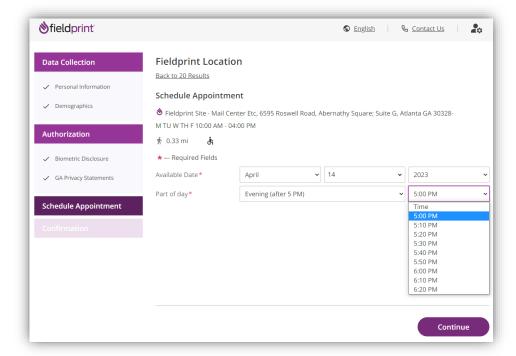


Schedule Appointment

Next you will select a location, date, and time for your Livescan fingerprint capture. The system will default to the home address entered, but you are able to change to another address that may be more convenient. Sites can be sorted by distance or soonest available time. Each entry will provide the address, hours of operation, and other key information about the site. Once you choose a site, click **Find Availability**.

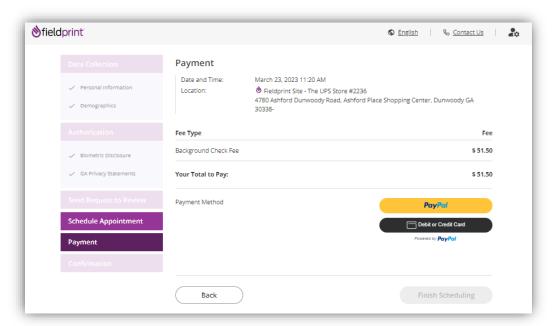


Using the dropdowns you will select the date and time for your appointment and click **Continue**.

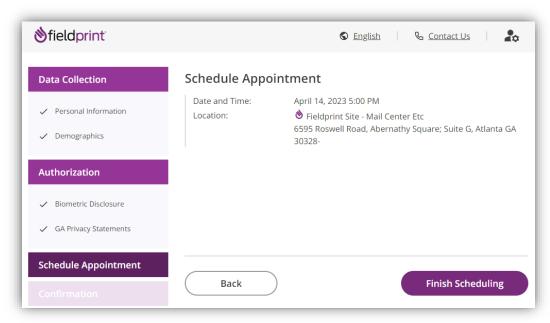


Payment

If you are required to pay for the fingerprint appointment, you will select your method of payment – either PayPal or debit / credit card. Cards accepted include MasterCard, Visa, American Express, and Discover.



If the agency is paying, you will click the **Finish Scheduling** button without seeing the Payment page.



Request Printcard Packet (If Applicable)

If a Livescan location is unavailable within the contracted range, the system will offer you the ability to request an ink card packet. This will also be the method used if you are located out of state. Clicking **Request Printcard Packet** will trigger a request to Fieldprint for a packet containing two barcoded fingerprint cards, instructions, and a return envelope to be mailed to your address.

Completed packets should be returned to:

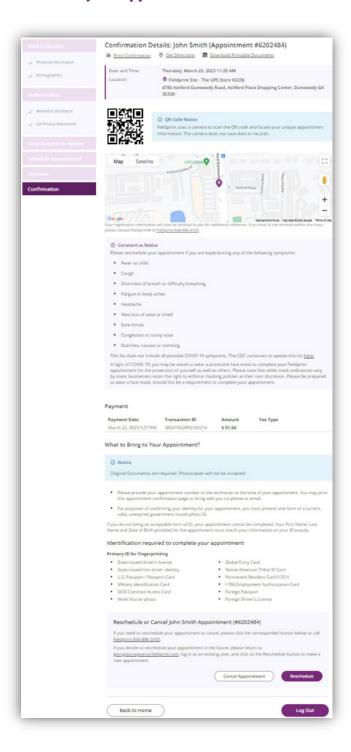
Fieldprint, Inc. PO Box 407 Marlton, NJ 08053





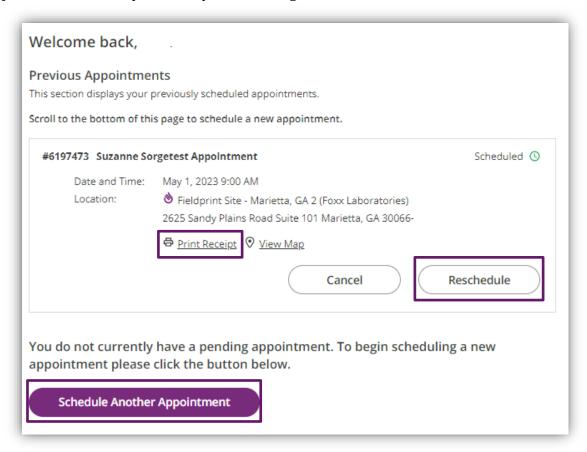
Confirmation

After scheduling your appointment, you will receive a confirmation screen. The confirmation page will show your appointment number, location, date and time. There is important information noted on the confirmation page, displaying identification required for the appointment. Be sure to bring the appropriate identification to your appointment.



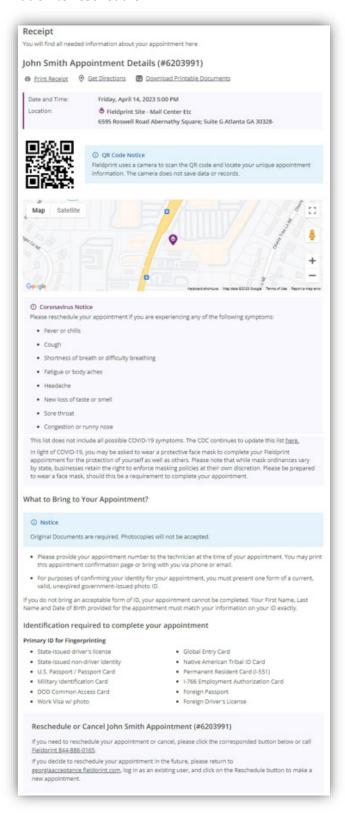
Appointment Management

Logging back in as a returning user will allow you to manage your appointment or create another. Click **Reschedule** to change the appointment location, date, or time. Clicking **Schedule Another Appointment** will take you to complete a new registration.





You will also have the ability to **Print Receipt** which contains appointment information, what to bring, and contact information to reschedule.





International Applicants

If you are an **international applicant**, you will not be able to use the Fieldprint Scheduling Website. Instead, you will use the following International Applicants process explained below:

- 1. The Georgia agency will provide you with the Originating Agency Identifier (ORI) and Reason for Fingerprinting (RFP) and then direct you to call Fieldprint at **844-886-0165**.
- 2. A Fieldprint representative will send you an email with the Georgia Privacy Statements waiver.
- 3. Once you return the waiver, the Fieldprint representative will create order in Hank (Fieldprint's fingerprint processing system).
- 4. While you are on the phone, Fieldprint will create an order based on the ORI/RFP provided and capture your Personal and Demographic information.
- 5. You will provide Fieldprint with payment.
- 6. Fieldprint will mail you a Printcard packet. The packet will contain two barcoded fingerprint cards, instructions and a return envelope. This packet will be mailed to the address you provide.
- 7. You will need to be fingerprinted on the cards and mail them back to Fieldprint.
- 8. Fieldprint will then scans the print cards into system and electronically submits them to GBI-AFIS.