



New Jersey Office of the Attorney General

Division of Consumer Affairs

Bureau of Securities

P.O. Box 47029

Newark, New Jersey 07101

**CERTIFICATION AND AUTHORIZATION FORM
FOR A CRIMINAL HISTORY BACKGROUND CHECK**

Directions: Please complete **all** of the sections on this form.

1. Name ☐ Dr. ☐ Mr. ☐ Mrs. ☐ Ms. _____ (_____)
Last First Middle Maiden Name (if applicable)
2. Mailing Address _____
Street or P.O. Box City State ZIP code
3. E-mail Address: _____ ☐ Investment Adviser ☐ Issuer Agent

(You **MUST** use the mailing address on file as it appears on the Form U4. If this address is not current, please amend your Form U4 as soon as possible so that there is no delay in the background check process.)

4. Date of birth ____/____/____ 5. Sex: ☐ Male ☐ Female 6. Daytime telephone number _____
Month Day Year (Include area code)
7. Social Security number ____ / ____ / ____ 8. Individual CRD or state registration number _____
9. Have you completed the fingerprinting process by MorphoTrust for the **New Jersey Bureau of Securities or Division of Consumer Affairs** since May 2012? ☐ Yes ☐ No
If "Yes," please provide the date on which you were fingerprinted: ____/____/____
Month Day Year

If you were fingerprinted by MorphoTrust after May 2012 as part of the criminal history background process for registration by the **Bureau of Securities or the New Jersey Division of Consumer Affairs**, you will not be required to be fingerprinted a second time. However, a criminal history background check must be performed each time you apply for registration.

10. Have you ever been arrested and/or convicted of a crime or offense? (Minor traffic offenses such as a parking or speeding violations need not be listed.) ☐ Yes ☐ No

Every such conviction on record must be disclosed. A true copy of every police report, judgment of conviction, sentencing order and termination of probation order, if applicable, must be submitted with this form. Any documents (including employer or supervisor letters of reference, if applicable) which present clear and convincing evidence of rehabilitation **must** be submitted with this form.

Note: Copies of judgments, sentencing and termination of probation orders may be obtained from the clerk of the court where those orders, disposing of the conviction, were issued and filed.

It is your continuing responsibility to disclose convictions of crimes or offenses: You **must** notify the Bureau of Securities within thirty (30) days if you are convicted of any crimes or offenses after this form has been completed.

CERTIFICATION

I, _____, certify that all of the information provided on this form is true to the
(Please print full name.)

best of my knowledge and belief. I understand that any omissions, inaccuracies or failure to make full disclosures may be deemed sufficient to withhold renewal of, revoke, suspend or restrict a registration issued by the Bureau of Securities.

I hereby acknowledge that the Bureau may approve my registration in advance of receiving the results of my Criminal History Background Check. Should any information be returned that would have caused my registration to be denied or subject me to a restricted registration, the Bureau may revoke, suspend or restrict my registration accordingly.

I voluntarily consent to a thorough investigation of my present and past employment and other activities for the purpose of verifying my qualifications for registration. I further authorize all institutions, employers, agencies and all governmental agencies and instrumentalities (local, state, federal or foreign) to release any information, files or records requested by the Bureau of Securities.

I certify that the foregoing statements made by me are true. I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment.

Signature of applicant

Date

FREQUENTLY ASKED QUESTIONS

I recently had a background check done for another New Jersey agency (e.g. the Department of Banking and Insurance). Do I have to undergo the process again?

Yes, because the regulation concerning the dissemination of criminal history record information prohibits the sharing of the material for any reason other than the authorized and intended purpose for which it was gathered. (28 C.F.R. §20; N.J.A.C. 13:59-1.1 et seq.)

What if I previously completed the Certification and Authorization form and have gone through the Criminal History Record Background Check process for the Bureau of Securities?

If you have already undergone the Criminal History Record Background Check process for the Bureau of Securities, you will not be required to be fingerprinted a second time. However, you must complete the Certification and Authorization form, indicating the date on which you were fingerprinted, and include a fee of \$18.75, payable to the State of New Jersey, to have your fingerprints resubmitted.

For frequently asked questions, please visit our website at: www.njconsumeraffairs.gov/ocp/Documents/CHRU-General-FAQ.pdf and www.njconsumeraffairs.gov/ocp/Documents/chru_fingerprinting_FAQ.pdf .