



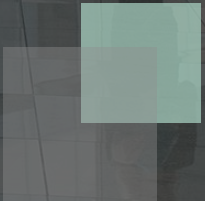
Sterling Fingerprinting User Guide

Transfer Agent / Clearing Agency (TA/CA) | February 2025



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Create Safer Workplaces with Fingerprinting-Based Background Checks



Sterling provides a streamlined, state-of-the-art fingerprinting experience

[Sterling](#) is the designated fingerprint provider for the [Financial Industry Regulatory Authority \(FINRA\)](#) Fingerprint Program for Transfer Agents/Clearing Agencies (TA/CAs).

Starting September 1, 2023, your TA/CA can use Sterling's services to capture fingerprints for your candidates to meet the U.S. Securities and Exchange Commission's (SEC) 17f-2 fingerprinting requirements. We have the deep expertise to help you complete this process with a seamless, convenient, and modern candidate experience. Sterling will provide FBI criminal history record information results to FINRA, and FINRA will send this information to your organization through secure email.

You'll benefit from:

- **Centralized Client Hub.** Fingerprint orders are placed and tracked in one place via Sterling's Client Hub
- **Seamless Candidate Experience.** Candidates enter their information and select a convenient fingerprinting location in the Candidate Hub
- **Convenient Nationwide Network.** Fingerprints are captured via [Sterling's Identity Network](#) with facilities in all 50 states and Washington D.C. on equipment that minimizes rejects
- **Fast Results.** Most results are sent to FINRA the same day, though can take up to 48 hours

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Initiating a Request for Candidate Information

To begin, please log into the Client Hub with your credentials, select **Invite Candidate** in the left-hand menu, and complete the Order Setting options. This will generate an invite link, which will be received by the candidate from the email address that you specify in the next step.

Select the **Account** that you will be sending the order from, followed by **Consent Plus** for the workflow. Choose the relevant position – either Fingerprinting Live Scan or Hard Card – as well as the Location of Employment and the Projected Salary of the candidate.

If you are a U.S. Agent of an international TA/CA, then you will only be able to select a Fingerprinting Hard Card Screening Package.

Finally, select the **Fingerprinting Location** that only applies to the Fingerprinting Live Scan Screening Package. This selection will default to Public Network unless you are leasing a Biometric Capture Device from Sterling to use at your office locations. Press **Next**. If you have selected **Fingerprinting Hard Card** as the **Screening Package**, you will not be presented with the **Fingerprinting Location** selection.

Start Order

Invite Candidate

Manual Order

Orders

Dashboard

Advanced Search

Recently Viewed

Historical Records

Platforms

Entire Organization

Order Settings

Summary

Quick Search

New Order Settings

Reset

Select from the following options:

Account

Test Account 1

Workflow

Consent Plus

Position

Test position 1

Screening Package

Fingerprinting Live Scan

Add-Ons

Billing Code (optional)

Location of Employment

Rockville, MD, US

Projected Salary

Over \$75,000

Package Details

Fingerprinting - AR

Max 1 Jurisdiction

Fingerprinting

Fingerprinting Location

Public Network

Next

In the Summary page, review the Order Information for accuracy and enter the candidate's first and last name, followed by their email address. Once completed, press **Send Invite**.

If you are a U.S Agent of an international TA/CA, then please enter the **Candidate Name** and **your email** so that you can receive the invite.

Order Settings ● Summary

Order Summary

Account Test	Billing Code (optional) None
Workflow Consent Plus	Location of Employment Seattle, WA, USA
Screening Package FINRA Fingerprinting	Projected Salary Over \$75,000
Position Broker	
Package Details Fingerprinting - FINRA ◦ Max 1 Jurisdiction	
Add-On Details None	

Add Attachments

Drag here or [click to browse for a file](#)

Email Content

Template
[Generic Template]

Subject
On behalf of @COMPANY_NAME@: Background Screening Instructi

Add Candidate

Important Disclosures

Manual Bulk Upload

Be sure to confirm your candidate's email before submission.

First Name Christine	Last Name Zeitousian	Email candidate@test.com
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Send Invite

Completing Required Forms

Upon logging into the Candidate Hub for the first time, the candidate will be required to verify their location so that Sterling can provide them with any location-based required forms.

Sterling candidate@email.com

Before we get started, we need to verify your location.
Many forms are country specific. We need to receive this information to provide you correct forms.

In which country are you completing this process?
Select

In which country is the organization located?
Select

In which country will your activities be primarily located?
Select

In which country do you primarily reside?
Select

Next

After verifying their location, U.S.-based candidates will be prompted to review the FBI Individual Rights statement and consent electronically.

The candidate will then click **Next** to advance to the next screen.

Scerling

candidate@test.com ▼

Before we get started, please review
Please read and sign the disclosure and authorization forms below.

Electronic Signature

FBI Disclosure

FBI Disclosure

Noncriminal Justice Applicant's Privacy Rights Brochure

<https://www.fbi.gov/services/cjis/compact-council/guiding-principles-noncriminal-justice-applicants-privacy-rights>

As an applicant who is the subject of a national fingerprint-based criminal history record check for a noncriminal justice purpose (such as an application for employment or a license, an immigration or naturalization matter, security clearance, or adoption), you have certain rights which are discussed below. All notices must be provided to you in writing.* These obligations are pursuant to the Privacy Act of 1974, Title 5, United States Code (U.S.C.) Section 552a, and Title 28 Code of Federal Regulations (CFR), 50.12, among other authorities.

- You must be provided an adequate written FBI Privacy Act Statement (dated 2013 or later) when you submit your fingerprints and associated personal information. This Privacy Act Statement must explain the authority for collecting your fingerprints and associated information and whether your fingerprints and associated information will be searched, shared, or retained.*
- You must be advised in writing of the procedures for obtaining a change, correction, or update of your FBI criminal history record as set forth at 28 CFR 16.34.
- You must be provided the opportunity to complete or challenge the accuracy of the information in your FBI criminal history record (if you have such a record).
- If you have a criminal history record, you should be afforded a reasonable amount of time to correct or complete the record (or decline to do so) before the officials deny you the employment, license, or other benefit based on information in the FBI criminal history record.
- If agency policy permits, the officials may provide you with a copy of your FBI criminal history record for review and possible challenge. If agency policy does not permit it to provide you a copy of the record, you may obtain a copy of the record by submitting fingerprints and a fee to the FBI. Information regarding this process may be obtained at <https://www.fbi.gov/services/cjis/identity-history-summary-checks> and <https://www.edo.cjis.gov>.
- If you decide to challenge the accuracy or completeness of your FBI criminal history record, you should send your challenge to the agency that contributed the questioned information to the FBI. Alternatively, you may send your challenge directly to the FBI by submitting a request via <https://www.edo.cjis.gov>. The FBI will then forward your challenge to the agency that contributed the questioned information and request the agency to verify or correct the challenged entry. Upon receipt of an official communication from that agency, the FBI will make any necessary changes/corrections to your record in accordance with the information supplied by that agency. (See 28 CFR 16.30 through 16.34.)
- You have the right to expect that officials receiving the results of the criminal history record check will use it only for authorized purposes and will not retain or disseminate it in violation of federal statute,

!! PLEASE NOTE !! Candidates must view and sign the FBI Individual Rights statement and Electronic Signature consent form to continue in the fingerprinting process.

Entering Requested Information

After viewing and electronically signing relevant consent forms, the candidate will be prompted to enter their personal information, including date of birth, full name, SSN, and address history.

In addition, Demographic Information is required for the FBI criminal history record information.

The candidate will then click **Next** to advance to the next screen.

If you are the U.S. Agent of an international TA/CA, then you must fill this tab in with the candidate's information. For the Address History section, you must enter the **address of your U.S. office** to continue with the workflow.

Sterling test1116@sterlingts.com

My Information | Fingerprinting | Documents | Review

Let's get started

* means required field

Contact info

Enter your First and Last Legal name as shown on your Government ID

Title * First Name * Middle Name * Last Name *

☐ I do not have a middle name

Suffix (Jr, Jrn, Sr, etc)

Have you ever used an alternate name?

☐ I have used a different name

Enter your Date of Birth as shown on your Government ID

Date of Birth

Year * Month * Day *

Enter your SSN as shown on your Government ID

Social Security Number * Confirm Social Security Number *

Phone Number * Exit

Demographic Information

* In order to confirm your identity via fingerprinting, we need to collect some demographic information

Race * Gender *

Country of birth *

Eye Color * Hair Color *

Height (feet) * Height (inches) * Weight (pounds) *

Address History

- Do not include any gaps
- Every date should coincide with the previous location end dates E.g.: 2018 January - Current whereas "Previous Address" is January 1982 - January 2018
- You can provide your address history after you have provided your current address.

Country * United States

Address

☒ Current

Address 2 Zip/Postal Code *

City/Town * State/Province/Region/Country *

Move In Date

Year * Month * Day *

+ Add an address

Next

Be sure to use your legal name

We will be unable to complete the requested service unless you use your legal name. You can find a thorough explanation in our [FAQ](#)

What happens with my data?

Your information is safe with us. We encrypt and collect your information and maintain high security standards. We do not share with third parties. You can find a thorough explanation in our [Privacy Statement](#)

Scheduling a Fingerprinting Appointment

If your candidate is expected to provide their fingerprints at a Live Scan location, the candidate will be able to schedule the fingerprinting appointment. The candidate is able to search for available locations by entering a zip code and then click **Next**.

Sterling test1116@sterlingts.com

My Information **Fingerprinting** Documents Review

Select a site and schedule a day and time for your fingerprinting appointment.

Zip/Postal Code Search

The candidate is presented with a list of available locations to select from, starting with the closest three. The candidate can click on a specific **Location** or can choose to **Show more Locations** to choose from. Then click **Next**.

Sterling test1116@sterlingts.com

My Information **Fingerprinting** Documents Review

Select a site and schedule a day and time for your fingerprinting appointment.

Zip/Postal Code 98011 Search

The UPS Store 0402 12 mi
800 FIFTH AVE STE 101
SEATTLE, WA 98104-3102
B: (206)382-9177

The candidate elects an available date to schedule the appointment and clicks **Next**.

Sterling test1116@sterlingts.com

My Information **Fingerprinting** Documents Review

Select a site and schedule a day and time for your fingerprinting appointment.

The UPS Store 0402
800 FIFTH AVE STE 101

Select a day

November 2021						
Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

Map Satellite

Seattle Department of Transportation (SDOT)

Seattle Municipal Seattle City Light

Back **Next**

The candidate will see a confirmation of the scheduled appointment. If the appointment was scheduled at a **The UPS Store location**, the candidate will receive an email with the scheduled location and appointment information.

Sterling test1116@sterlingts.com

My Information **Fingerprinting** Documents Review

Thank you for scheduling your appointment.
Below are the details of the fingerprinting location you selected.

When
November 16, 2021
2:00 - 2:00 PM

Where
The UPS Store 0402
800 FIFTH AVE STE 101
SEATTLE, WA 98104-3102
P: (206)382-9177
F:

You will receive an email confirmation of your scheduled visit.

Change Appointment

Map Satellite

Seattle Department of Transportation (SDOT)

Seattle Municipal Seattle City Light


Next

The candidate will also receive an email with instructions for fingerprinting, which will include a code that needs to be presented for the live scan fingerprinting appointment.

This code will also be listed in Sterling's Client Hub Order Manager under the specific fingerprinting search.

Dear Christine,

We have registered you for fingerprinting under this code:



Code: 72138-D1D0C-7D68F-222F0-826C6

Please go to the location that you selected in the Candidate Hub portal.

If you are unable to go to this location, please go to sterlingidentity.com/locations to choose an alternate location.. Follow these steps to submit your fingerprints:

Before You Go

- Print or bring this email with you on your mobile device
- Bring a government-issued photo ID and a secondary ID document from sterlingidentity.com/id-documents for identity verification
- Clean your hands and use oil-free lotion if your skin is dry


At the Location

- Ask for the Identity Network Kiosk
- Scan your code using the kiosk's camera, or enter it manually
- Verify and/or update your order information
- Work with a technician to
 - Verify your identity
 - Capture your fingerprints

Thanks for working with us! If you have any questions, please contact us at the phone number or email below.

Sincerely,
The Sterling Identity Team
Email: sterlingidentity@FADV.com
Phone: 844.787.3431

If the candidate is scheduled for a fingerprint hard card capture, the candidate will not be able to schedule through the portal, and instead receives instructions by email.


marion.trompeter+1119200@sterlingcheck.com ▼

✓ My Information
✓ Fingerprinting
Documents
Review >

You will receive an email from support@sterlingidentity.com containing important information about the steps required to complete the fingerprinting process.

Next

If you are the U.S. Agent of an International TA/CA, then you will receive the instructions. You can disregard the Hard Card instructions, as your international candidate has already had their fingerprints collected via FINRA hard card.

When the candidate has completed the Fingerprinting tab, they will have the opportunity to upload any other documents required by the client. If none are required, click **Next**.

The candidate is then directed to the **Review** page where they can confirm that all of their information is correct before pressing **Confirm** and submitting their invite.

If you are the U.S. Agent of an International TA/CA, then confirm that the personal & demographic information is that of the candidate's, but the address reflects the location of your U.S. Office and then press **Confirm**.

Fingerprinting results

When the results have been supplied by the FBI, the search will be marked as **COMPLETE** in the Administrative Services section of the Order Manager.

The FBI results will be disseminated to FINRA who will send it to the point of contact at your organization that was supplied to Sterling during the onboarding process.

Additionally, a PDF with fingerprinting order status may be downloaded by selecting the Order Manager “Download” button, choosing Administrative Services, and clicking Download.

Goodman, Sarah #1234567

Order Status: Complete

Overview

Services

Attachments

Activity Log

Administrative Services

The services listed are not part of the Consumer Report, and are provided as an Administrative Service.

^

Fingerprinting - AR

Goodman, Sarah Jane

COMPLETE

Data as Provided

Reported Data

Last Name	Goodman	Report requested on 2023-01-01	Report Completed on 2023-01-05
First Name	Sarah		
Middle Name	Jane		
SSN	XXX-XX-1234		
DOB	XXXX-01-01		
Registration Code	75EC8-BE978-602EC-15E1D-16E3D		
Location Type	external		
Location Details	123 Main Street		
Fingerprints Received Date	2025-02-13		

Please contact FINRA to obtain Federal Criminal History Records Information.

Administrative Services–Not a Consumer Report

Order # 1812713532 GOODMAN, SARAH

Fingerprinting - AR

COMPLETE

Date Completed: 2025-02-12

Last Name	GOODMAN
First Name	SARAH
Middle Name	JANE
SSN	XXX-XX-6789
DOB	01/01/XXXX
Registration Code	3F156-E72B2-F9C15-45E8B-52729
Registrant CRD Number	04968702
Location Type	external
Location Details	123 MAIN STREET
Fingerprints Received Date	2025-02-12