

IMPORTANT:

**PROVIDE THIS DOCUMENT TO LAW ENFORCEMENT OFFICIAL OR
FIRM ADMINISTRATOR AT TIME OF FINGERPRINT CAPTURE**

INSTRUCTIONS FOR APPLICANTS

DO NOT complete any portions of the FINRA-specific hard card on your own; all fields must be completed by the Law Enforcement Official or your firm's administrator capturing your fingerprints.

NOTE: Do not submit a FBI Standard FD-258 card as this format will be rejected.

Be prepared to provide the following pieces of information to the Law Enforcement Official or firm administrator capturing your prints:

- Your first name, middle name (if applicable), and last name
- Your employer's name and full address (street address, city, state, zip code, and country)
- Your sex, height, weight, eye color, hair color, date of birth, and place of birth
- If your place of birth is in the United States, provide your Social Security number and optionally, your Individual CRD number
 - If you do not remember your individual CRD number, you can find it on FINRA's BrokerCheck:
<https://brokercheck.finra.org/>

Your information must match exactly what you entered in the Candidate Hub portal, since it was verified against your FINRA CRD record. Please bring ID documents to support this information. For a list of acceptable FBI documents, please go here: <https://sterlingidentity.com/id-documents/>.

HARD CARD COMPLETION INSTRUCTIONS

(for Law Enforcement Official or Firm Administrators Capturing Fingerprints)

Ensure the FINRA-specific hard card is filled out in the following way:

*required fields

- **LAST NAME*** and **FIRST NAME***: individual's current legal last and first name (as it appears on their ID documents)
- **ORI***: pre-printed with USEID009Z
- **YOUR NO. (OCA)**: leave BLANK, Sterling will assign bar code
- **Empty field*** under CITIZENSHIP STZ: pre-printed with "CHDC9109Z"
 - If this field is BLANK, enter CHDC9109Z
- **EMPLOYER AND ADDRESS***: individual's firm's SEC registered name and address
 - Must include street address, city, state, zip code, and country
- **REASON FINGERPRINTED***: pre-printed with "15 USC 78q(f)(2) Securities Personnel"
- **ORG ID #***: firm CRD or FPRD Number
 - Must be numeric only (up to 8 digits), cannot be all zeros or left blank
- **SEX***: use one of the following 1-character codes:
 - F - female
 - M - male
 - X - unknown
- **HGT***: enter 1 digit for feet (') and 2 digits for inches (") (e.g., five feet, two inches entered as 5'02")
 - Allowable range is 4'00" to 7'11"
 - Heights outside the allowable range need to be constrained to the maximum or minimum limits (e.g., enter height of 8'02" as 7'11")
 - If height is unknown, enter 000 or UNK

Hard Card Completion Instructions continued on Page 2 →

HARD CARD COMPLETION INSTRUCTIONS (continued)

(for Law Enforcement Official or Firm Administrators Capturing Fingerprints)

Ensure the FINRA-specific hard card is filled out in the following way:

*required fields

- **WGT*:** enter weight in pounds (lbs)
 - Allowable range is 50 lbs to 499 lbs
 - Weights outside the allowable range need to be constrained to the maximum or minimum limits (e.g., enter weight of 508 lbs as 499 lbs)
 - If weight is unknown, enter 000 or UNK
- **EYES*:** FINRA does not accept XXX (unknown) for eye color. Use one of the 3-character NCIC codes below:
 - BLK - black
 - BLU - blue
 - BRO - brown
 - GRY - gray
 - GRN - green
 - HAZ - hazel
 - MAR - maroon
 - MUL - multicolored
 - PNK - pink
- **HAIR*:** FINRA does not accept XXX (unknown) for hair color. Use one of the 3-character NCIC codes below:
 - BAL - bald
 - BLK - black
 - BLN - blond or strawberry
 - BLU - blue
 - BRO - brown
 - GRY - gray
 - GRN - green
 - ONG - orange
 - PNK - pink
 - PLE - purple
 - RED - red or auburn
 - SDY - sandy
 - WHI - white
- **DATE OF BIRTH (DOB)*:** individual's date of birth entered as MM/DD/YYYY (e.g., 10/01/1975)
- **PLACE OF BIRTH (POB)*:** individual's place of birth; use 2-character standard NCIC code. For a list of acceptable NCIC codes, please see Appendix O of the EBTS 11.0 specification: <https://fbibiospecs.fbi.gov/file-repository/masterebts-v11-0.pdf/view>. If the POB is in the United States, please provide the state, tribal, or territory NCIC code (e.g. NCIC code for Virginia is VA). If the POB is outside the United States, please provide the country NCIC code (e.g. NCIC code for Estonia is ES).
 - If POB is in the United States, SOCIAL SECURITY NO. (SOC) must be provided, INDIVIDUAL CRD NO. is optional:
 - **SOCIAL SECURITY NO. (SOC)*** — mandatory, include all 9 digits of the SSN (e.g., 011-43-4567)
 - **INDIVIDUAL CRD NO.** — optional, must be numeric only (up to 8 digits), cannot be all zeros
 - Individuals can look up or verify their individual CRD number using FINRA's BrokerCheck: <https://brokercheck.finra.org/>
 - If POB is NOT in the United States, SOCIAL SECURITY NO. (SOC) and INDIVIDUAL CRD NO. are both optional
- **RACE, MIDDLE NAME**, and all remaining fields are optional

















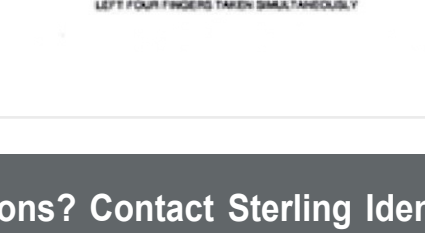
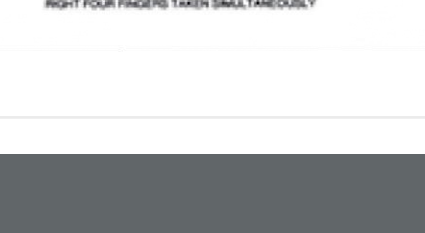
Amputation Codes for Unprintable Fingerprints - use one of the following for each applicable fingerprint image:

- **XX** - amputated, missing at birth, or bandaged
- **UP** - unprintable fingers (no ridge detail or absolutely smooth)

Note: please contact your FINRA POC for direction when all 10 fingers are amputated, missing, bandaged, or unprintable.

Properly completed FINRA-specific hard card example on Page 3 →

EXAMPLE: Properly completed FINRA-specific hard card

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK		LEAVE BLANK	
				LAST NAME SMITH FIRST NAME John MIDDLE NAME			
SIGNATURE OF PERSON FINGERPRINTED 		ALIAS AKA		OR I		USEID009Z	
EMPLOYER AND ADDRESS Example Firm 1234 56th Avenue, New York, NY, 10038 USA		CITIZENSHIP CIT		SEX M RACE 5'02" HEIGHT 185 EYES BRO HAIR BLK VA		DATE OF BIRTH DOM Month 10 Day 01 Year 1975	
DATE 04/17/2019 SIGNATURE OF OFFICIAL TAKING FINGERPRINTS 		CHDC9109Z		FBI NO. FD		PLACE OF BIRTH DOM	
YOUR NO. OCA		FBI NO. FD		ARMED FORCES NO. MINI		LEAVE BLANK	
REASON FINGERPRINTED 15 USC 78q(f)(2) Securities Personnel		ORG ID# 12345678		SOCIAL SECURITY NO. SOC 011-43-4567		CLASS _____	
		INDIVIDUAL CHC NO. 87654321		REF. _____			
							
1. R. THUMB		2. R. INDEX		3. R. MIDDLE		4. R. RING	
							
5. R. LITTLE		6. L. THUMB		7. L. INDEX		8. L. MIDDLE	
							
9. L. RING		10. L. LITTLE		L. THUMB		R. THUMB	
							
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY		LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY	

Questions? Contact Sterling Identity Support at:

Phone: 844.787.3431

Email: sterlingidentity@FADV.com