

FINRA Fingerprinting User Guide

Sterling, a First Advantage company | February 2025

Disclaimer

This content is offered for informational purposes only. First Advantage is not a law firm, and this content does not, and is not intended to, constitute legal advice. Information in this may not constitute the most up-to-date legal or other information. Readers of this content should contact their attorney or lawyer to obtain advice concerning any particular legal matter. No reader, or user of this content, should act or refrain from acting on the basis of information in this content without first seeking legal advice from counsel or lawyers in the relevant jurisdiction. Only your individual attorney or legal advisor can provide assurances that the information contained herein – and your interpretation of it – is applicable or appropriate to your particular situation. Use of, and access to, this content does not create an attorney-client relationship between the reader, or user of this presentation and First Advantage.

Create Safer Workplaces with Fingerprinting-Based Background Checks

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

For jobs that require a high level of trust, you need a high level of assurance, and that's what a fingerprint-based background check can provide. Whether you conduct fingerprint background checks to comply with regulations and requirements, or you're interested in conducting more robust candidate background checks, Sterling, a First Advantage company, is here to help.

As the [designated fingerprinting provider](#) for the Financial Industry Regulatory Authority (FINRA), Sterling offers the following benefits:

- Take advantage of reduced rates and a modern, streamlined fingerprinting collection and submission experience that takes candidates minutes to complete.
- Convenient, professionally staffed, nationwide The UPS Store® retail locations in all 50 states and Washington DC.
- State-of-the-art equipment with easy-to-use touch-screen interface (equipment lease options available).
- Real-time fingerprint quality analysis during capture to minimize FBI rejections.
- More than 45 years of screening experience and deep industry expertise to guide and inform your program.

Table of Contents

Initiating a Request for Candidate Information	4
Completing Required Forms.....	4
Entering Requested Information.....	6
Scheduling a Fingerprinting Appointment.....	7
Releasing Fingerprints to the FBI.....	10
Fingerprinting results via the Order Manager	12

Initiating a Request for Candidate Information

The candidate is invited to submit the information needed to complete a background screen by sending the candidate an e-invite through the Sterling Platform dashboard. To begin, press **Send 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
-------------------------	-------------------------	-----------------------------

Send Invite

Completing Required Forms – The Candidate Journey

After logging into the Candidate Hub for the first time, the candidate is 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 are prompted to complete a series of consent forms, including Electronic Signature and FBI Individual Rights. Other consent forms might be present, including Disclosure, Summary of Rights FCRA, Authorization, and any state or local jurisdiction specific documents that are required. The candidate will then click **Next** to advance to the next screen.

The screenshot shows the Sterling application interface. At the top left is the Sterling logo. At the top right is the email address 'candidate@test.com' with a dropdown arrow. Below the logo, a message reads: 'Before we get started, please review. Please read and sign the disclosure and authorization forms below.' Below this message is a box containing two items: 'Electronic Signature' with a green checkmark icon and 'FBI Disclosure' with a radio button icon. To the right of this box is a large section titled 'FBI Disclosure'. Inside this section, there is a sub-header 'FBI Individual Rights' and a link to the 'Noncriminal Justice Applicant's Privacy Rights Brochure'. Below this is a paragraph of text explaining the applicant's rights. At the bottom, there is a list of bullet points detailing the applicant's rights and the process for challenging the FBI criminal history record.

Sterling 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

FBI Individual Rights

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.fdo.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.fdo.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 all relevant forms to continue in the background screening 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.

Sterling

test1116@sterlings.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 (I,II,III,IV,Jr,Sr)

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 NumberConfirm Social Security Number

Phone Number *
+1Ext

Demographic Information

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

FINRA CRD

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.: 2019 January - Current whereas "Previous Address" is January 1982 - January 2019

You can provide your address history after you have provided your current address.

Country *
United States ▼

Address

☒ Current

Address 2Zip/Postal Code *

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

Move In Date

Year * ▼Month * ▼Day * ▼

+ Add an address

Be sure to use your legal name

We will be unable to complete the requested services 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](#).

Next

Scheduling a Fingerprinting Appointment

If your candidate provides 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 then provided 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 then selects 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

If the location provides online appointment scheduling, the candidate will be able to select a time slot and continue the scheduling process by clicking **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
November 16, 2021

Choose a time

- 1:30 - 1:30 PM
- 2:00 - 2:00 PM
- 2:30 - 2:30 PM
- 3:00 - 3:00 PM
- 3:30 - 3:30 PM

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 The UPS Store location, the candidate will receive an email with the scheduled location.

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.

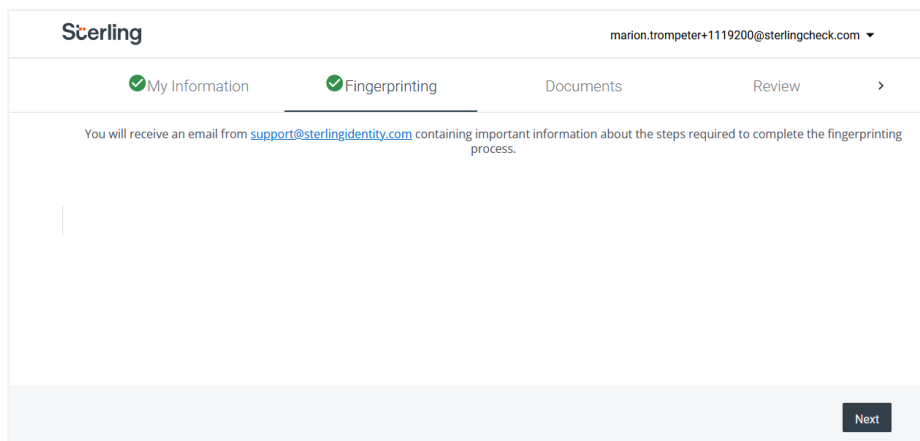
Change Appointment

Map Satellite

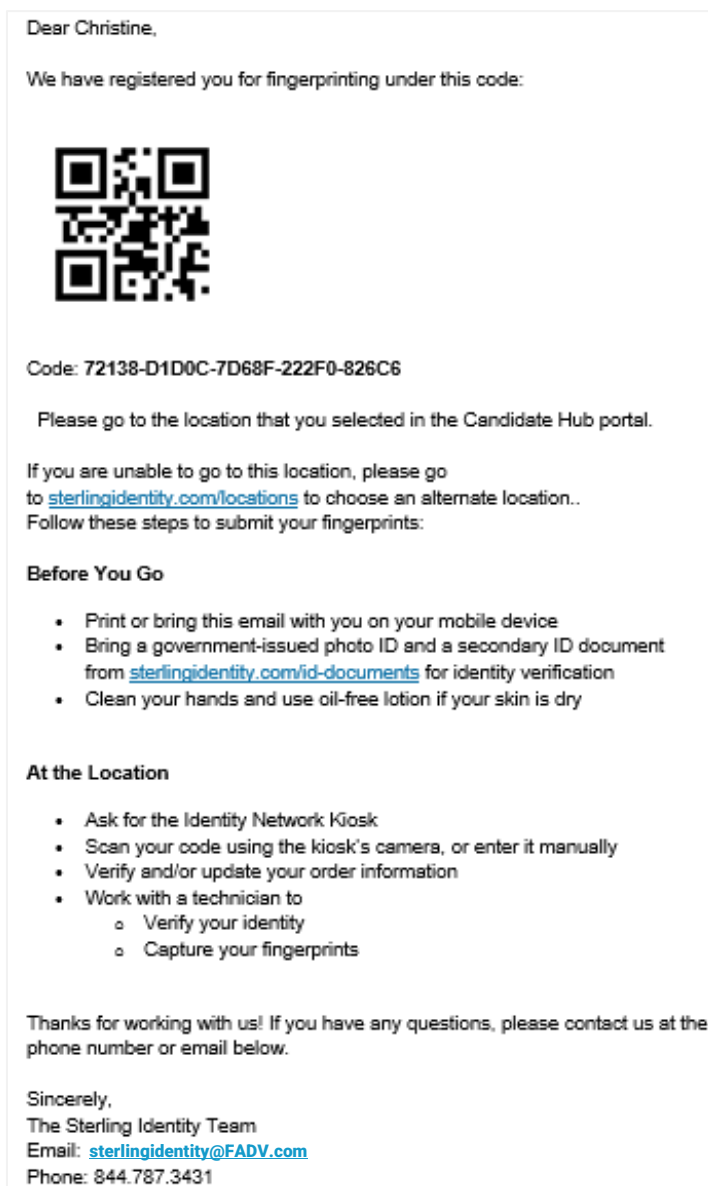
Seattle Department of Transportation (SDOT)
Seattle Municipal
Seattle City Light

Next

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



The candidate will also receive an email with instructions for fingerprinting which will include a registration code that needs to be presented at the fingerprinting appointment. This registration code will also be listed in Client Hub's Order manager under the specific fingerprinting search.



!! PLEASE NOTE !! The Candidate Hub screens will vary based on the services that you currently have enabled in your Sterling account. This User Guide reflects additional screens presented when Fingerprinting products are included. Please review the Candidate Hub user guide for the complete candidate experience.

Releasing Fingerprints to the FBI

If your account has been configured to manually release fingerprints to the FBI, orders will be in an 'Action Needed' state until the fingerprint has been released. You will be able to view orders under "Action Needed" that have fingerprints uploaded by the candidate by selecting the relevant **Print Received – Hold** and **Awaiting Print – Hold** filters.

The screenshot shows the Sterling dashboard with a sidebar on the left containing navigation links: Dashboard, Submit Invite, Recently Viewed, I-9 Form I-9, Onboarding, Reporting, and Platforms. The main content area is titled 'Entire Organization' and displays a summary of fingerprinting status: 20.3K Started, 3.8K In Progress, 32 Action Needed (highlighted with a red circle), 292 Ready for Review, 514 Adverse Action Process, and Completed. Below the summary, a table lists individual candidates with columns for ID, Candidate, Status, and Created. The 'Status' column shows 'Action Needed' for all listed candidates. A red circle highlights the '1 Print Received - Hold' and '24 Awaiting Print - Hold' filters above the table.

ID	Candidate	Status	Created
1801719825	Zeitounian, Christine I.	Action Needed	6/24/2022
1801715083	ZEITOUNIAN, CHRISTINE I.	Action Needed	6/22/2022
1801693948	ZEITOUNIAN, CHRISTINE I.	Action Needed	6/9/2022
1801312054	eich, testPFFinra19	Action Needed	11/17/2021

You can filter for orders based on fingerprint upload status within the **Advanced Search** in the Client Hub under the **Awaiting Search by Action** filter.

The screenshot shows the 'Advanced Search' interface in the Client Hub. It includes sections for 'Search by Result' and 'Search by Action'. The 'Search by Action' section has a dropdown menu open, showing options: 'Candidate Action', 'Verify Identity', 'Print Received - Hold' (highlighted with a red circle), and 'Awaiting Print - Hold'. The interface also includes various filter fields for Account, Package, Source, Initiated By, Created Date, Completed Date, and CHIR Download, along with 'Save Search' and 'Apply' buttons.

You can also filter for orders based on Fingerprint Expiration Date within the **Advanced Search** in the Client Hub under the **Fingerprint Expiration Date** filter. You will have four options for date ranges including: 1) Today, 2) 1 – 3 Days, 3) 1 Week, or Custom Date Range.

The screenshot shows the 'Advanced Search' interface. At the top, there are three tabs: 'Search by Status', 'Search by Result', and 'Search by Action'. Below these are various filter categories: 'Narrow Search', 'Organization View', 'Account', 'Package', 'Bill Code', 'Position', 'Source', 'Initiated By', 'Assignee', 'Unperformable Results', 'Created Date', 'Fingerprint Expiration Date' (highlighted with a red box and a red arrow), and 'CHRI Download'.

You can release the fingerprints in the Order Manager by clicking **Release FINRA Fingerprints**. After the fingerprints have been collected, the Order Manager will also display the time remaining to release the fingerprints.

The screenshot shows the 'Order Manager' interface for 'Goodman, Sarah Jean #1803300946'. The 'Order Status' is 'Complete' and the 'Order Result' is 'Consider'. The 'Overview' tab is selected. On the right side, there is a list of actions: 'Release FINRA Fingerprints' (highlighted with a red box), 'Access FBI Results', 'Copy Link', 'Order Comments', 'Archive', and 'View Classic'.

If a new set of fingerprints has been requested from the candidate, you can find the candidate status in the Client Hub Order Activity Log. **A new set of fingerprints has been requested from the candidate** message will be posted.

The screenshot shows the 'Client Hub Order Activity Log' for 'zeitounian, christine ipsmock #1801809227'. The 'Activity Log' tab is selected. The log shows several entries with columns for 'Date', 'User', and 'Activity'. The entry 'A new set of fingerprints has been requested from the candidate' is highlighted with a red box.

Date	User	Activity
9/26/2022 10:35 AM ET	System	Order status changed to Complete
9/26/2022 10:35 AM ET	System	A new set of fingerprints has been requested from the candidate
9/26/2022 10:26 AM ET	ClientHub Test	Fingerprints released to agency
9/26/2022 10:07 AM ET	ClientHub Test	Order status changed to Pending

Fingerprinting results via the Order Manager

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

The criminal history record information (CHRI) is currently not accessible through the Client Hub. FINRA Fingerprinting results are sent directly to FINRA upon receiving them from the FBI.

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 - FINRA - 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.

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

Administrative Services—Not a Consumer Report

Order # 1812713532 GOODMAN, SARAH

Fingerprinting - FINRA Live Scan

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