

# 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

<u>Sterling</u> is the designated fingerprint provider for the <u>Financial Industry Regulatory Authority (FINRA)</u> 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 <u>Sterling's Identity Network</u> 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.

Sterling a	Entire Organization 👻		
	Order Settings     Summary		
Quick Search Q			
5 Start Order	New Order Settings		Reset
Invite Candidate	5		
Manual Order	Select from the following options:	Package Details	
Orders ^	Account Test Account 1	• Max 1 Jurisdiction	
Dashboard	Workflow	Fingerprinting	
Advanced Search	Consent Plus	Fingerprinting Location	
Recently Viewed	Position	Public Network	
Historical Records	Test position 1	·	
Э Platforms v	Screening Package Fingerprinting Live Scan	•	
	Add-Ons	•	
	Billing Code (optional)		
	Location of Employment Rockville, MD, US		
	Projected Salary Over \$75,000	•	
			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.

Account Billing Code (optional)   Test None   Workflow Location of Employment Consent Plus Seattle, WA, USA Screening Package Projected Salary FINRA Fingerprinting Over \$75,000 Position Broker Package Details In Package Details None Add-On Details None Add Candidate				
Worldow     Location of Employment     Email Content       Consent Plus     Seattle, WA, USA       Screening Package     Pojected Salary       FINRA Engerprinting     Over \$75,000       Position     Image: Template [Generic Template]       Processe Details       Fingerprinting       • Max1 jurisdiction		Billing Code (optional) None	4	Drag here or click to browse for a file
Screening Package Projected Salary FINRA Fingerprinting Over \$75.000 Position Broker Package Details Fingerprinting - FINRA Mone Add-On Details None Add Candidate	t Plus	Location of Employment Seattle, WA, USA	Email Content	6 km
Add Candidate	3 Package ingerprinting	Projected Salary Over \$75,000	Template [Generic Template]	On behalf of @COMPANY_NAME@: Background Screening Instruct
Package Details Fingerprinting - FINRA				
Add-on Details None Add Candidate	• Details inting - FINRA ax 1 Jurisdiction			
Add Candidate	Details			
Add Candidate				
Add Candidate				
Add Candidate				
	Candidate			
Important Disclosures	ortant Disclosures			~
Manual Bulk Upload	nual Bulk Upload			
Be sure to confirm your candidate's email before submission.	to confirm your candidate's e	email before submission.		
First Name         Last Name         Email           Christine         Zeitousian         candidate@test.com			Email	

#### **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.

Scerling		candidate@email.com ▼
Before we get started, we I Many forms are country specific. We need	need to verify your location. to receive this information to provide you correct forms.	
In which country are you completing this p Select	rocess?	
In which country is the organization locate Select	d?	
In which country will your activities be prin Select	narily located?	
In which country do you primarily reside? Select	*	
		Next
Contact	Resources	
+1-888-889-5248	Contact Us	
client.support@sterlingts.com	Acceptable Use Policy	
	FAQ	
	US FACT ACT Disclosure	
	Privacy statement	



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.

erling	candidate@test.com •
Before we get started, please review Please read and sign the disclosure and authorization forms below.	FBI Disclosure
Electronic Signature	FBI Individual Rights
Clectronic Signature	Noncriminal Justice Applicant's Privacy Rights Brochure
SFBI Disclosure	https://www.fbi.gov/services/ciis/compact-council/guidipg-principles-noncriminal-justice-applicants-privacy- dights
	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, securit/stearne, or adoption, you have certain lingts which are discussed below. All notices must be provided to you in writing. <sup>1</sup> 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.
	<ul> <li>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 fingermits and associated information with the searched shared or retained 4</li> </ul>
	<ul> <li>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.</li> </ul>
	<ul> <li>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).</li> </ul>
	<ul> <li>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 henefit has do ninformation in the FEI criminal history record</li> </ul>
	<ul> <li>If agency policy permits, the officials may provide you with a copy of your FEI 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 southing fingerprints and a fee to the FEI information regarding this process may be obtained at <u>https://www.fbi.gov/sancea.clais.identh-history-summare- checks.and https://www.db.gis.gov</u></li> </ul>
	<ul> <li>If you decide to challenge the accuracy or completeness of your FBI criminal history record; you should send your challenge to be agency that contributed the questioned information to the FBI. Alternatively, you may send your challenge of the agency that contributed the questioned information to the FBI. Alternatively, 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 voir ecord in accordance with the information supplied by that agency. (See 20 CFR 15 alt thorough 16 3.4).</li> </ul>
	<ul> <li>You have the right to expect that officials receiving the results of the criminal history record check will</li> </ul>

**!! 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.





### **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.



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.

Scerling				test1116@sterlingts.	com 👻
My Information	Fingerprinting	Doc	uments	Review	>
Select a site and schedule a day fingerprinting appointment.	and time for your		Map Satellite		::
The UPS Store 0402 800 FIFTH AVE STE 101 SEATTLE: WA 98104-3102 B: (206)382-9177		12 mi		0	<b>▲</b> + -
			Google Ke	yboard shortcuts Map data @2021 Go	ogle Terms of Use
Back					Next





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



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 <u>sterlingidentity.com/locations</u> 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 <u>sterlingidentity.com/id-documents</u> 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: <u>support@sterlingidentity.com</u> 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.

Scerling			marion.tromp	eter+1119200@sterlingcheck.com	ר <b>▼</b>
	nation 🛛 🕑 Fin	gerprinting	Documents	Review	>
You will receive an ema	ail from <u>support@sterlingider</u>	ntity.com containing impo proces	rtant information about the step 55.	s required to complete the finge	rprinting
					Next

#### User Guide | Sterling Fingerprinting

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**.

Scerling		mina.abdou@sterlingcheck.com	•
My Information	Fingerprinting	Documents	>
Is there anything else you would like to p We have made this section available to provide any additional de documents in JPEG, PNG, DOC, TXT, GIF, BMP or PDF format)	provide? ocuments. Nothing is required in the section	n so feel free to skip if you prefer. (Kindly upload the	
Additional documents			
Applicant Obtained Results	· 6	Drag here or click to browse for a file	
		Must be 5MB (per document) or less.	
Back		N	ext

cerling			mina.abdou@sterlingcheck.con	n <b>-</b>
in	Fingerprinting	Documents	Review	>
"hat's it! Does lease review carefull	S everything below look correct? ly. Data can no longer be changed beyond this point.			
ly Information				
✓ mina Infmock abd	ou			Edit
▲ 1232 Hatch Pkwy S	5 Ste A, Baxley, Georgia 31513-5089   2006-02-18 — Current			Edit
Country United States				
Address 1232 Hatch Pkwy S	Ste A			
Zip/Postal Code 31513-5089		City/Town Baxley		
State/Province/Region Georgia	n/County			
Move In Date 2006-02-18				
			Cor	nfirm



#### **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.

Goodman, Sarah #12	234567 🖸		Order Status: Complete	×
Overview Services	Attachments Activi	ty Log		8
Administrative Ser	rvices			109
The services listed are not	part of the Consumer Report, and	d are provided as an Adminis	trative Service.	Θ
► Fingerprinting -   AR	Goodman, Sarah Jane		COMPLETE	q
Data as Provided		Reported Data		
Last Name First Name	Goodman Sarah	Report requested on 2023-01-01	Report Completed on 2023-01-05	€
Middle Name SSN DOB Registration Code Location Type Location Details Fingerprints Received Date Please contact FINRA to obtain F	Jane XXX-XX-1234 XXXX-01-01 75EC8-88978-602EC-15E1D-16E3D external 123 Mani Street 2025-02-13 ederal Criminal History Records Informa	stion.		

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 - 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	