

Sterling Fingerprinting User Guide

Transfer Agent / Clearing Agency (TA/CA) | September 2023

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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).

TA/CAs may participate in the Fingerprint Program for TA/CAs and 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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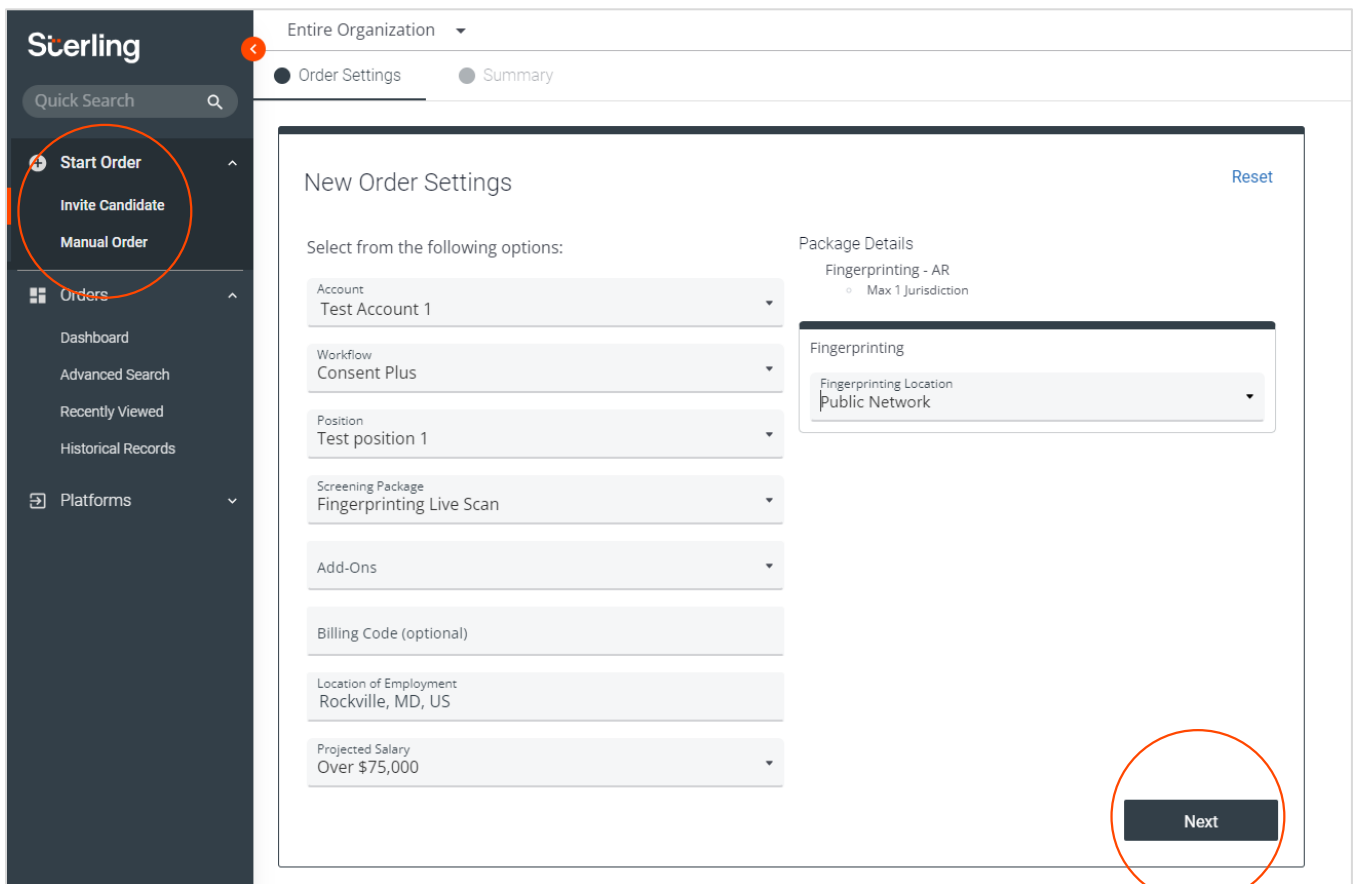
Initiating a Request for Candidate Information

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.



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**.

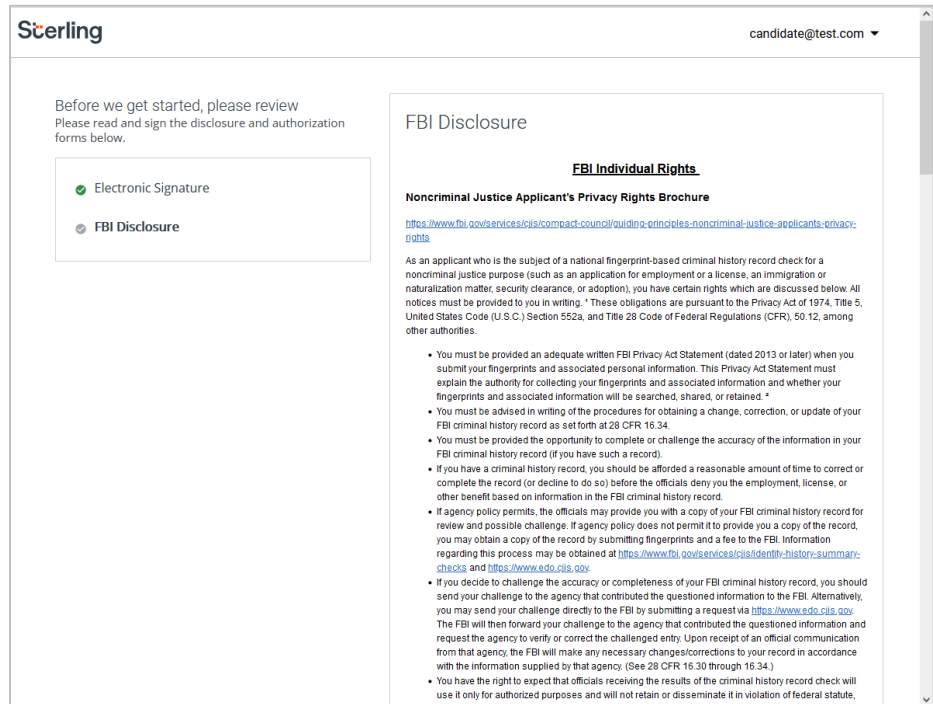
If you are a U.S Agent of an international TA/CA, then please enter the **Candidate Name** and **your email** so that you can receive the invite.

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.

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.



!! 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.

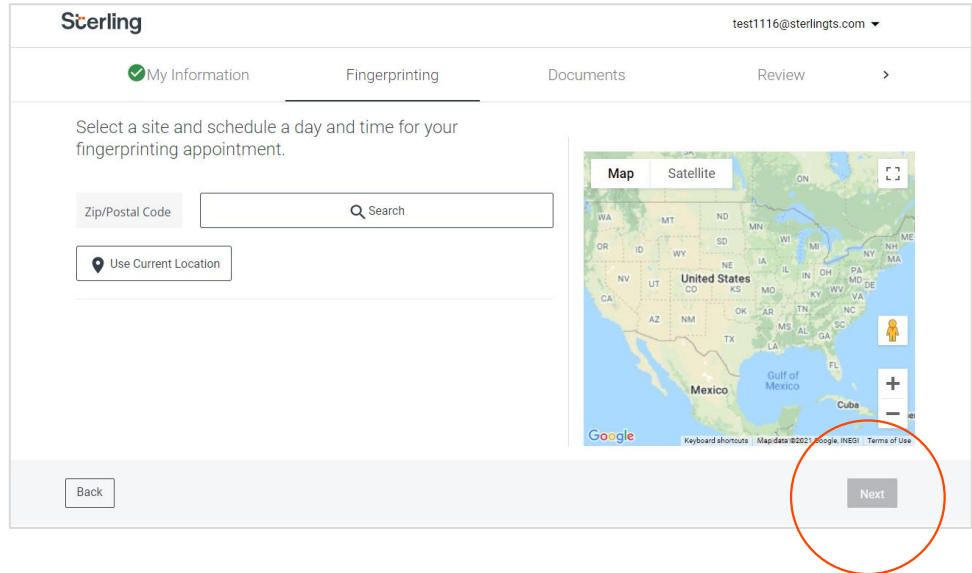
The screenshot shows the Sterling Identity web application interface. At the top, there's a navigation bar with 'My Information', 'Fingerprinting', 'Documents', and 'Review'. The main content area is titled 'Let's get started' and contains several sections:

- Contact info:** Includes fields for Title, First Name, Middle Name, Last Name, Suffix, and Date of Birth (Year, Month, Day). There are checkboxes for 'I do not have a middle name' and 'I have used an alternate name'.
- Demographic Information:** Includes fields for Race, Gender, Country of birth, Eye Color, Hair Color, Height (feet/inches), and Weight (pounds).
- Address History:** Includes a dropdown for Country (United States), an Address field, a 'Current' checkbox, Address 2, Zip/Postal Code, City/Town, and State/Province/Region/County. It also has a 'Move In Date' section with Year, Month, and Day dropdowns.

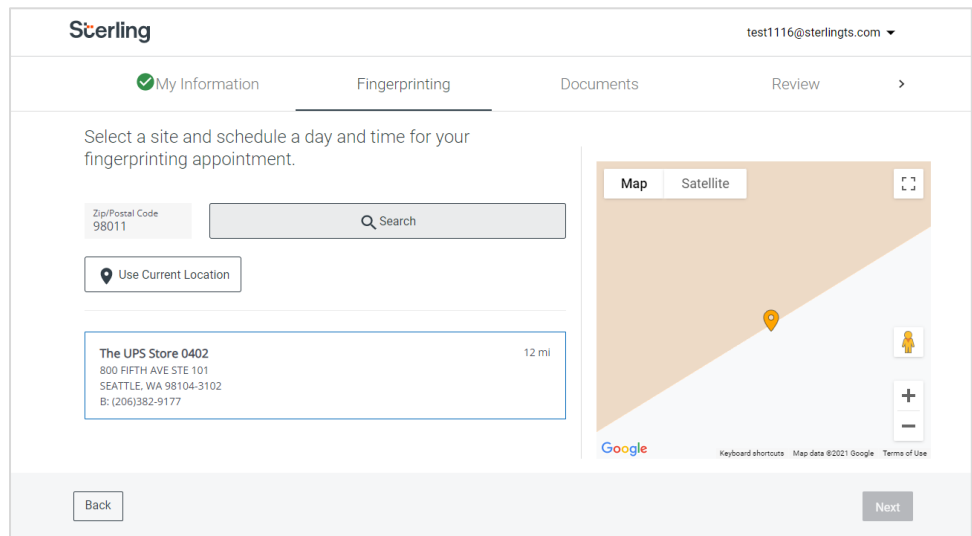
On the right side, there are informational graphics and text: 'Be sure to use your legal name', 'What happens with my data?', and a 'Next' button circled in red at the bottom right.

Scheduling a Fingerprinting Appointment

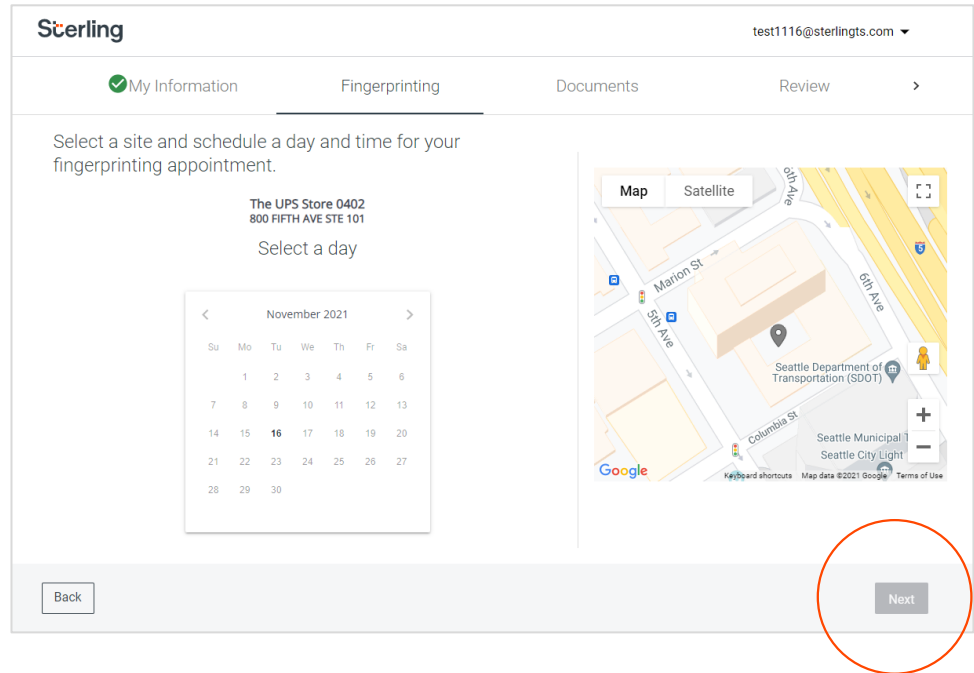
If your candidate is expected to provide their fingerprints at a Live Scan location, the candidate will be able to schedule the fingerprinting appointment. The candidate is able to search for available locations by entering a zip code and then click **Next**.



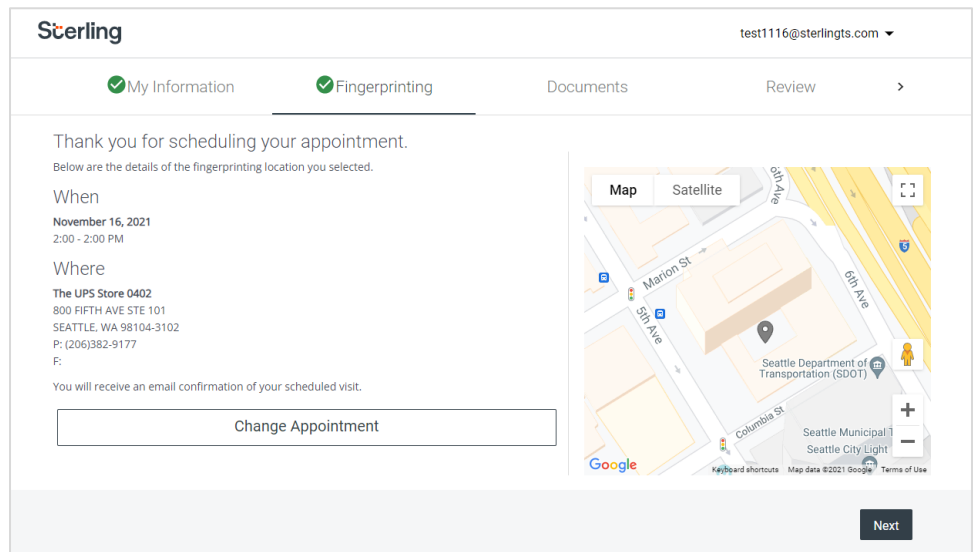
The candidate is presented with a list of available locations to select from, starting with the closest three. The candidate can click on a specific **Location** or can choose to **Show more Locations** to choose from. Then click **Next**.



The candidate selects 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 must 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: support@sterlingidentity.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.

Sterling 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 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 and the address reflects the location of your U.S. Office and then press **Confirm**.

Sterling minna.abdou@sterlingcheck.com

My Information Fingerprinting Documents

Is there anything else you would like to provide?
We have made this section available to provide any additional documents. Nothing is required in the section so feel free to skip if you prefer. (Kindly upload the documents in JPEG, PNG, DOC, TXT, GIF, BMP or PDF format)

Additional documents

Document Type
Applicant Obtained Results

Drag here or click to browse for a file
Must be 5MB (per document) or less.

Back Next

Sterling minna.abdou@sterlingcheck.com

Fingerprinting Documents Review

That's it! Does everything below look correct?
Please review carefully. Data can no longer be changed beyond this point.

My Information
mina Infmock abdou

1232 Hatch Pkwy S Ste A, Baxley, Georgia 31513-5089 | 2006-02-18 — Current

Country: United States
Address: 1232 Hatch Pkwy S Ste A
Zip/Postal Code: 31513-5089
City/Town: Baxley
State/Province/Region/County: Georgia
Move In Date: 2006-02-18

Confirm

Fingerprinting Results

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

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

abdou, mina infmock #1801718970 Order Status: Complete

Overview Searches Attachments Activity Log

This is an interactive view of the candidate results, not the final report. Access the final report by clicking **Export** in the right side navigation. Initiate Pre-Adverse Action

Important Disclosures

Fingerprinting - AR-Abdou, Mina Infmock, FBI COMPLETE

Data As Provided		Verified Data	
Last Name	abdou	Report requested on:	2022-06-23
First Name	mina	Report completed on:	2022-06-23
Middle Name	infmock		
SSN	XXX-XX-1321		
DOB	XXXX-04-03		
Registration Code	AFFD5-B0B36-0D546-FA155-A0C1A		
Location Type	internalNetwork		
Location Details	595 NEW LOUDON RD		
Fingerprints Received Date	2022-06-24		

Required Notices