

US Domestic TA/CA Hard Card Process Instructions

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Introduction

The Financial Industry Regulatory Authority (FINRA) has chosen First Advantage Biometrics¹ as its FBI channeler for Transfer Agent/Clearing Agency (TA/CA) fingerprinting. As a TA/CA located within the US or one or more of its territories, your TA/CA can either choose to take advantage of First Advantage Biometrics' live scan process or send hardcopy cards to First Advantage Biometrics for processing.

If your TA/CA opts to continue using hardcopy cards, please follow the instructions below, and note that your organization must use FINRA-specific hardcopy cards ("FINRA hard cards") for the TA/CA Fingerprint Program. The instructions below outline 1) FINRA hard card requirements and purchasing, and 2) Domestic hard card process.

!! PLEASE NOTE !!

The instructions below outline the procedure for fingerprinting candidates within the US and its territories. Candidates must view and sign all relevant forms to continue in the background screening process.

If you are fingerprinting candidates **outside of the US and its territories**, it is extremely important that you follow the [International TA/CA Hard Card Instructional Guide](#) to be compliant with FBI and FINRA requirements.

FINRA Hard Card Requirements and Purchasing Instructions

TA/CAs are required to use FINRA hard cards for the Program. Please note:

- To order FINRA hard cards, contact First Advantage Biometrics via email at fa-biometrics@fadv.com or call 1-833-794-2009.
- FINRA hard cards are only available in packets of 25 cards. You can order as many packets as needed for your candidate volume.
- The cost for each FINRA hard card packet is \$10.00 plus actual shipping cost. First Advantage Biometrics will ship using a cost-effective carrier when possible.
- TA/CAs will be invoiced monthly by First Advantage for FINRA hard card purchases along with the amount due for fingerprinting services and FBI fees.
- Please make sure that you procure FINRA hard cards prior to placing orders in First Advantage's Client Hub to ensure orders do not expire.

¹ First Advantage is a subsidiary of Sterling and a member of the First Advantage family of companies

!!DO NOT USE!! Please do not use FD-258 forms, as these will be rejected and shredded

US Domestic Hard Card Process

Please follow the instructions below to ensure your hard card submission complies with FBI and FINRA requirements.

US Domestic Hard Card Order Placement in Client Hub

Hard card order placement can be referenced in the "Initiating a Request for Candidate Information" section in the First Advantage Client Hub Fingerprinting User Guide for TA/CAs.

1. Log into Client Hub with your Username and Password
2. In the left-hand menu, select **Invite Candidate** and fill out the **New Order Settings**. Please ensure that you select **Fingerprinting Hard Card** for the Screening Package.
 - a. **Account:** Should be the account you are sending the invite from (if you have more than one First Advantage account).
 - b. **Workflow:** Select **Consent Plus**.
 - c. **Position:** Select the position of Hard Card Fingerprint for the hard card package.
 - d. **Location of Employment:** Enter the location where the candidate will be employed.
 - e. **Projected Salary:** Select the appropriate salary range for the candidate.
3. Once the Order Settings page is complete, click **Next** to go to the Summary tab.
4. In the **Summary** tab, confirm that the order information is correct, then enter the following information:
 - a. **First Name & Last Name:** This will be the **Candidate's First and Last Name**.
 - b. **Email:** This will be **your candidate's email address**.
5. Once the First Name, Last Name, and Email are input, click **Send Invite**.

Your candidate will receive the invitation to log into the Candidate Hub and enter their FBI/FINRA-mandated information. Once the candidate completes this process, the order will be generated, and they will receive instructions on how to proceed with hard card fingerprint capture. You will have the option to either send the candidate to one of your TA/CA offices to be fingerprinted or provide purchased FINRA hard cards to the candidate and have them go to a Law Enforcement location to be fingerprinted.

Note: FBI channelers can only process hard cards provided by the TA/CA (as an extension of the Authorized Recipient, which is FINRA in this case), or captured at a Law Enforcement location. Candidates are not allowed to capture their own fingerprints, or have fingerprints captured at non-Law Enforcement or non-TA/CA locations for this Program.

FINRA Hard Card Fingerprint Capture

For TA/CA locations capturing FINRA hard card fingerprints, please follow the instructions below:

- FINRA hard cards used for fingerprinting must be the original cardstock. Photocopies of the FINRA hard card will not be accepted.
- Fingerprints should be captured by trained technicians employed or contracted by the TA/CA.
 - Technicians must be familiar with FBI fingerprinting quality and privacy requirements.

- Candidates are not allowed to capture their own fingerprints.
- Hard cards must be completely filled out per these [Hard Card Instructions](#).
- Hard cards must not be folded, torn/repared, smeared, or damaged.
- Only one hard card should be provided per order. If First Advantage receives multiple hard cards for the same order, the most legible hard card will be selected for processing, and the rest will be destroyed per FBI requirements.

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK						LEAVE BLANK	
SIGNATURE OF PERSON FINGERPRINTED		LAST NAME NAM		FIRST NAME		MIDDLE NAME					
<i>John Con</i>		Smith		John							
EMPLOYER AND ADDRESS		ALIASES AKA		O R I		USEID009Z		DATE OF BIRTH DOB			
Example Organization 1234 5th Ave, New York, NY, 10038 USA								Month Day Year 10 01 1975			
DATE		CITIZENSHIP CTZ		SEX		RACE		HGT		WGT	
04/17/2019		CHDC9109Z		M		5'02"		185		EYES	
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		FBI NO. FBI				BRO		BLK		HAIR	
<i>John Con</i>		ARMED FORCES NO. MNU				VA		PLACE OF BIRTH POB			
REASON FINGERPRINTED		SOCIAL SECURITY NO. SOC								LEAVE BLANK	
15 USC 78q(f)(2) Securities Personnel		987-65-4321									
ORG CRD #		INDIVIDUAL CRD NO.									
12345678											

Figure 1: Sample TA/CA FINRA hard card data entry

Shipping Hard Cards to First Advantage Biometrics

TA/CAs will ship all completed FINRA hard cards captured in the US or its territories to First Advantage Biometrics for processing.

- Prior to shipment, TA/CAs should verify that the FINRA hard cards are completed correctly per the instructions above, and that the fingerprint images are legible. If the FINRA hard cards are not completed correctly or if the images are illegible, they will be rejected prior to scanning by First Advantage Biometrics.
- Please use a shipping container that will ensure that the hard cards are not folded or otherwise damaged (by impact or moisture) in transit. Damaged hard cards may not feed through our FBI-approved scanners properly and will be rejected by First Advantage Biometrics.
- Do not include more than 200 FINRA hard cards per shipment. Ensure that each FINRA hard card has a corresponding order in Client Hub prior to mailing.
- Mail hard cards to:
First Advantage Biometrics
Attn: TA/CA Fingerprinting
10220 SW Greenburg Road
Suite 301
Portland, OR 97223

Support

If you have any questions about these instructions, please contact First Advantage Biometrics Support via email at fa-biometrics@fadv.com or call 1-833-794-2009.