

IMPORTANT:

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

INSTRUCTIONS FOR APPLICANTS

Please Note

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.
Do not submit an 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
- Optionally, you may also provide your individual CRD number. If you do not remember your individual CRD number, you can find it on FINRA's [BrokerCheck](#)

Your information must exactly match 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. Please refer to [this list of acceptable FBI documents](#).

HARD CARD COMPLETION INSTRUCTIONS

(Instructions for Law Enforcement Officials or Firm Administrators capturing fingerprints)

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

* indicates required field

- **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. First Advantage will assign the bar code
- **EMPTY FIELD*** under **CITIZENSHIP STZ**: Pre-printed with "CHDC9109Z"
- **EMPLOYER AND ADDRESS***: Individual's firm 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
 - U – unknown
- **HGT***: Enter 1 digit for feet (') and two 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

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

* indicates required field

- **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	• HAZ – hazel
• BLU – blue	• MAR – maroon
• BRO – brown	• MUL – multicolored
• GRY – gray	• PNK – pink
• GRN – green	

- **HAIR***: FINRA does not accept XXX (unknown) for hair color. Use one of the 3-character NCIC codes below:

• BAL – bald	• ONG – orange
• BLK – black	• PNK – pink
• BLN – blond or strawberry	• PLE – purple
• BLU – blue	• RED – red or auburn
• BRO – brown	• SDY – sandy
• GRY – gray	• WHI – white
• GRN – green	

- **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 POS 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
 - If POB is not in the United States, **SOCIAL SECURITY NO.** 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

EXAMPLE: PROPERLY COMPLETED FINRA-SPECIFIC HARD CARD

(Example for Law Enforcement Officials or Firm Administrators capturing fingerprints)

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK								LEAVE BLANK			
SIGNATURE OF PERSON FINGERPRINTED 		LAST NAME NAM		FIRST NAME John		MIDDLE NAME		OR I		USEID009Z		DATE OF BIRTH DOB			
EMPLOYER AND ADDRESS Example 1234 56th Avenue, New York, NY, 10038 USA		ALIASES AKA		CITIZENSHIP CTZ		SEX M	RACE	HGT. 5'02"	WGT. 185	EYES BRO	HAIR BLK	Month 10	Day 01	Year 1975	
DATE 04/17/2019	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS 		CHDC9109Z		LEAVE BLANK										
REASON FINGERPRINTED 15 USC 78q(f)(2) Securities Personnel		ORG CRD # 12345678		FBI NO. FBI		ARMED FORCES NO. MNU		SOCIAL SECURITY NO. SOC 011-43-4567		INDIVIDUAL CRD NO. 87654321		CLASS		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		LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY		L. THUMB		R. THUMB		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY					

Questions? Contact First Advantage Biometrics Support

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