

IMPORTANT:

PROVIDE THIS DOCUMENT TO LAW ENFORCEMENT OFFICIAL OR
TA/CA 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 the administrator at your Transfer Agent or Clearing Agency (TA/CA) who will be 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 TA/CA 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)
- Org ID # (CIK Number of the TA/CA). If you do not know the CIK Number of the TA/CA, you can locate it here: <https://www.sec.gov/edgar/searchedgar/cik>
- 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

Your information must exactly match what you entered in the Candidate Hub portal. Please bring ID documents to support this information. Refer to this [list of acceptable FBI documents](#).

HARD CARD COMPLETION INSTRUCTIONS

(Instructions for Law Enforcement Officials or TA/CA Administrators capturing fingerprints)

Ensure the FINRA-specific hard card is filled out in the following way, and ensure the individual has received the consent form and a copy of the FBI Applicant Rights Information:

* 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.
- **EMPTY FIELD*** under **CITIZENSHIP STZ**: Pre-printed with "CHDC9109Z"
 - If this field is BLANK, enter CHDC9109Z
- **EMPLOYER AND ADDRESS***: Employer's 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 #***: Enter the CIK Number of the TA/CA
- **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***: Use one of the 3-character NCIC codes below:

<ul style="list-style-type: none"> • BLK – black • BLU – blue • BRO – brown • GRY – gray • GRN – green 	<ul style="list-style-type: none"> • HAZ – hazel • MAR – maroon • MUL – multicolored • PNK – pink • XXX – unknown
---	--

- **HAIR***: Use one of the 3-character NCIC codes below:

<ul style="list-style-type: none"> • BAL – bald • BLK – black • BLN – blond or strawberry • BLU – blue • BRO – brown • GRY – gray • GRN – green 	<ul style="list-style-type: none"> • ONG – orange • PNK – pink • PLE – purple • RED – red or auburn • SDY – sandy • WHI – white • XXX – unknown
--	--













- **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.
 - **SOCIAL SECURITY NO. (SOC)***: Mandatory. Include all 9 digits of the SSN (e.g. 011-43-4567)
 - 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	
				LAST NAME NAM		FIRST NAME John		MIDDLE NAME			
SIGNATURE OF PERSON FINGERPRINTED 				ALIASES AKA		OR I		USEID009Z		DATE OF BIRTH DOB	
EMPLOYER AND ADDRESS Example Firm				CITIZENSHIP CTZ		SEX M	RACE	HGT. 5'02"	WT. 185	EYES BRO	HAIR BLK
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		SOCIAL SECURITY NO. SOC 011-43-4567		CLASS		REF.	
				ARMED FORCES NO. MNU		INDIVIDUAL CRD NO. 87654321					
											
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

Phone: 844-787-3431

Email: fa-biometrics@fadv.com