

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

**INSTRUCTIONS FOR APPLICANTS**

**DO NOT** complete any portions of the FINRA-specific hard cards on your own; all fields must be completed by the Law Enforcement Official or your firm's administrator capturing your fingerprints.

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)
- Org ID # (Firm CRD or FPRD Number) – numeric only
- 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 either your Social Security number or your Individual CRD number
  - If you do not remember your individual CRD number, you can find it on FINRA's BrokerCheck: <https://brokercheck.finra.org/>

Your information must match exactly 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. For a list of acceptable FBI documents, please go here: <https://sterlingidentity.com/id-documents/>.

**HARD CARD COMPLETION INSTRUCTIONS**

*(for Law Enforcement Official or Firm Administrators Capturing Fingerprints)*

Ensure FINRA-specific hard cards are filled out in the following way:

*\*required fields*

- **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, Sterling will assign bar code
- **Empty field\*** under CITIZENSHIP STZ: pre-printed with "DCSEC000Z"
  - If this field is BLANK, enter DCSEC000Z
  - If a DIFFERENT number appears in this field, create an adhesive label with this number, and completely cover the other number
- **EMPLOYER AND ADDRESS\***: individual's firm's SEC registered name and address
  - Must include street address, city, state, zip code, and country
- **REASON FINGERPRINTED\***: pre-printed with "SEC RULE 17f-2"
- **ORG ID #\***: firm CRD or FPRD Number (individual's firm's number)
  - must be numeric only, cannot be all zeros or left blank
- **SEX\*** and **HGT\*** and **WGT\*** and **EYES\*** and **HAIR\***: individual's sex, height, weight, eye color, and hair color
- **DATE OF BIRTH (DOB)\***: individual's date of birth (month, day, year)
- **PLACE OF BIRTH (POB)\***: individual's country of birth
  - If POB is in the United States, you must fill out at least one (1) of the following fields:
    - **SOCIAL SECURITY NO. (SOC)** — include full SSN
    - **INDIVIDUAL CRD NO.** — fill in the individual's CRD number
  - If POB is NOT in the United States, SOCIAL SECURITY NO. (SOC) and INDIVIDUAL CRD NO. are both optional
- **RACE, MIDDLE NAME**, and all remaining fields are optional

**Properly completed FINRA-specific hard card example on Page 2 →**

**EXAMPLE: Properly completed FINRA-specific hard card**

<b>APPLICANT</b>		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK				LEAVE BLANK	
SIGNATURE OF PERSON FINGERPRINTED <i>John Con</i>		LAST NAME <b>NAM</b>		FIRST NAME <b>John</b>		MIDDLE NAME		DATE OF BIRTH <b>DOB</b>	
EMPLOYER AND ADDRESS Example Firm 1234 56th Avenue, New York, NY, 10038 USA		ALIASES <b>AKA</b>		OR I <b>USEID009Z</b>		Month <b>10</b> Day <b>01</b> Year <b>1975</b>		PLACE OF BIRTH <b>POB</b>	
DATE <b>04/17/2019</b>	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS <i>David Low</i>		CITIZENSHIP <b>CITZ</b>		SEX <b>M</b>	RACE	HGT <b>5'11"</b>	WGT <b>185</b>	EYES <b>BR</b>
YOUR NO. <b>OCA</b>		DCSEC000Z		FBI NO. <b>FBI</b>		HAIR <b>BK</b>		United States	
REASON FINGERPRINTED <b>SEC RULE 17f-2</b>		ORG ID # <b>12345678</b>		ARMED FORCES NO. <b>MNU</b>		CLASS		REF.	
		SOCIAL SECURITY NO. <b>SOC</b> <b>011-432-4567</b>		INDIVIDUAL CRD NO. <b>87654321</b>		LEAVE BLANK			
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 Sterling Identity Support at:

Phone: 844.787.3431

Email: support@sterlingidentity.com