

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 card on your own; all fields must be completed by the Law Enforcement Official or your firm's administrator capturing your fingerprints.

NOTE: Do not submit a 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)
- 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 the FINRA-specific hard card is 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 "CHDC9109Z"
 - If this field is BLANK, enter CHDC9109Z
 - 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 "15 USC 78q(f)(2) Securities Personnel"
- **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

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK		LEAVE BLANK		
SIGNATURE OF PERSON FINGERPRINTED <i>John Con</i>		LAST NAME NAM Smith	FIRST NAME John	MIDDLE NAME	OR I USEID009Z			
EMPLOYER AND ADDRESS Example Firm 1234 56th Avenue, New York, NY, 10038 USA		ALIASES AKA	DATE OF BIRTH DOB Month Day Year 10 01 1975		PLACE OF BIRTH POB United States			
DATE 04/17/2019	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS <i>Dave</i>	CITIZENSHIP CTZ	SEX M	RACE	HGT. 5'11"	WGT. 185	EYES BR	HAIR BK
YOUR NO. OCA	CHDC9109Z	LEAVE BLANK						
REASON FINGERPRINTED 15 USC 78q(f)(2) Securities Personnel	ORG ID # 12345678	FBI NO. FBI	CLASS		REF.			
		ARMED FORCES NO. MNU						
		SOCIAL SECURITY NO. SOC 011-432-4567						
		INDIVIDUAL CRD NO. 87654321						



Questions? Contact Sterling Identity Support at:

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