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NEW YORK NY
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ROCKVILLE, MD 20850
UNITED STATES US
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CONFIDENTIAL



September 29, 2023

John Wooten
BlockTrans Syndicate
99 Wall St #4640
New York, NY, 10005

Dear John Wooten,

FINRA received confirmation from Sterling Identity (Sterling) of your organization's decision to participate in the Fingerprint Program for Transfer Agents and Clearing Agencies (TA/CAs). As a participant in this Program, fingerprints submitted will be processed by Sterling, FINRA's designated channeler. FINRA will send FBI results to you through secure email.

FINRA created a password that you will be required to use to open all FBI results of fingerprints processed under this Program. The password is unique to your organization. In addition, in support of secure email delivery of FBI results, your organization must be able to open a zip file by using WinZip or a similar product.

Your organization's password is [REDACTED]. The password established for your organization will stay in use until any of the following occurs, at which point, FINRA will issue a new password:

- One year passes from the time the password was created;
- Upon notification that someone else at your organization will receive FBI results;
- Upon notification of a security incident;
- As required by FINRA

Do not store your password in a location that is not secure and do not share it with persons not authorized to review FBI results as part of their job responsibilities. In addition, refer to the FBI's Criminal Justice Information (CJI) Security Policy <https://le.fbi.gov/cjis-division/cjis-security-policy-resource-center> for more requirements on security and fingerprinting.

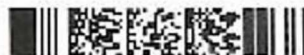
For additional information on the Program, see <https://www.finra.org/fingerprint-program-ta-ca>.

If you have any questions regarding this communication, please email ta_ca.operations@finra.org.

FINRA Document Services



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Extremely Urgent

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For FedEx Express® Shipments Only

Contents should be compatible with the container and packed securely. For shipping terms and conditions and our limits of liability, refer to the applicable FedEx Express shipping document, the current FedEx Service Guide, or conditions of carriage.

For more information on FedEx Express services, solutions, and shipping locations, go to fedex.com, or contact your nearest FedEx location.

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