

9509 Key West Avenue
Rockville, MD
20850-9329



Financial Industry Regulatory Authority

BlockTrans Syndicate
ATTN: John Wooten
99 WALL STREET #4640
New York, NY 10005

NEOPOST

FIRST-CLASS MAIL

07/20/2023

US POSTAGE \$001.35⁹



ZIP 20850
041M11451136





July 18, 2023

John Wooten
BlockTrans Syndicate
99 WALL STREET #4640
New York, NY 10005

Dear John,

FINRA will be retiring the fingerprinting platform it currently uses to channel transfer agent and clearing agency fingerprints in the third quarter of 2023. In connection with that development, FINRA has been working to finalize arrangements with Sterling Identity (Sterling), the FBI-approved channeler that processes fingerprints for broker-dealers on FINRA's behalf, to serve as an option for transfer agents and clearing agencies that elect to use it to fingerprint covered personnel. FINRA is notifying you because your organization currently submits fingerprints to FINRA for processing and you are the key contact listed for your organization.

Under the proposed arrangements, Sterling would assume responsibility for channeling fingerprints of transfer agent and clearing agency personnel to the FBI. Sterling would make the results of those fingerprint checks available to FINRA, which would then make the results available to the transfer agent or clearing agency via a secure electronic process. FINRA will be filing an amended fingerprint plan with the SEC in connection with this change, which the SEC must review and declare effective before any change is implemented.

FINRA will be sending additional communications with more specific information regarding timing and next steps.

Sincerely,

A handwritten signature in black ink, appearing to read 'M. Shaw', is written over a light blue horizontal line.

Mary Ann Shaw
Senior Director, Information Operations