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9509 Key West Avenue
3rd Floor
Rockville, MD
20850

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01/19/2023

US POSTAGE \$001.68⁰



ZIP 20850
041M11451136

John Wooten
BlockTrans Syndicate (47432)
99 Wall Street #4640
New York, NY 10005



FIRM NAME: 47432

ORG ID#: BlockTrans Syndicate

DATE: 01/19/2023

Welcome to the Transfer Agent Repository (TAR) Program. We look forward to assisting you with the processing of your fingerprint card(s) to meet the SEC Rule 17f-1 requirements. Enclosed for your use, please find the following items:

- Transfer Agent Fingerprint Card Transmittal Form
Please photocopy this form and maintain a supply. Send one copy of this form with each check and batch of fingerprint cards.
- Sample of how to complete a card.
Please be sure that the firm number assigned to your firm is shown clearly on each fingerprint card. We have added your firm's number to the enclosed cards only
- Five blank fingerprint cards for your use.
- Demographic information sheet that shows the proper eye and hair color codes

The firm ORG# shown above has been assigned to your firm for all processing needs. Please be sure this ORG# is shown on every fingerprint card submission and referenced in all Transfer Agent communication including your checks.



Revised 11/20/2018
Effective 1/01/2019

Financial Industry Regulatory Authority

Fingerprint Transmittal Form for Transfer Agents/Clearing House Firms

Processing Tips: In order for fingerprint submissions to be processed, full payment in the form of a company check, wire transfer, or money order must accompany your fingerprint submissions. The fees are listed below which include FINRA and FBI fees. The dollar amount submitted to FINRA for payment must match the fees required to process the total number of fingerprint submissions. If the dollar amount does not match the required amount, the fingerprints submissions and payment will be returned to your firm.

To prevent processing delays, fingerprint submissions must have the following required fields completed: **individual's full name, Social Security Number (if individual is born in the United States), your firm's full name, firm org #, and the individual's demographic information which includes sex, height, weight, eye color, hair color, date of birth, place of birth and address.** The **ONLY** fields not required are **FBI, Armed Forces, and miscellaneous numbers**. Incomplete submissions cannot be processed.

Firms Responsibilities Regarding Fingerprinting

Transfer Agents and Clearing House Firms are responsible for complying with Securities Exchange Act of 1934 (<https://www.sec.gov/about/laws/sea34.pdf>), as amended, and SEC rules promulgated thereunder, and FBI requirements (<https://www.fbi.gov/services/cjis/compact-council/privacy-act-statement>).

FINRA will mail to your firm the FBI dispositions to the address provided. If a fingerprint submission is determined by the FBI to be illegible, your firm will need to send a new fingerprint submission for that individual. The FBI may identify up to three separate fingerprint transactions that are considered to be illegible for the same individual, requiring the firm to send a second or third set of fingerprint submissions for the same individual. There is no FBI fingerprint fee for second submissions.

Please ensure all fingerprint submissions have the following Originating Agency Identifier (**ORI**) on the card: **DCSECOO1Z**. The ORI is important as it designates FINRA as the channeling agency. This ORI number is pre-printed in the ORI field on all FINRA-issued cards which are available for purchase by contacting Media Source at (240) 386-4200. Also, please verify that the fingerprint submission has a FINRA-issued barcode number in the OCA field. Barcode numbers are pre-printed on FINRA-issued cards. Barcode number stickers are available at no additional cost by contacting the FINRA Media Source, (240) 386-4410,

If you have questions regarding the processing of fingerprint submissions, please contact the FINRA Gateway Call Center at (301) 590-6500.

Regular Mail: FINRA, Document Services, P.O. BOX 9495 Gaithersburg, MD 20898-9495

Express Mail: FINRA, Document Services, 9509 Key West Avenue, Rockville, MD 20850, (301) 869-6699

ORGANIZATION INFORMATION

FIRM ORG #: 47432

NAME OF FIRM: BlockTrans Syndicate

ADDRESS: 99 Wall Street #4640

CITY/STATE/ZIP: New York, NY 10005

NUMBER OF 1st SUBMISSIONS: _____ X \$41.25 EACH =\$ _____

NUMBER OF 2nd RESUBMISSIONS: _____ X \$30.00 EACH =\$ _____

NUMBER OF 3rd RESUBMISSIONS: _____ X \$41.25 EACH =\$ _____

TOTAL PAYMENT \$_____

CHECK/WIRE/MONEY ORDER # _____

Fingerprint Cards Frequently Asked Questions (FAQ)

ON THIS PAGE

- General FAQ Applicable to All Firms
- FAQ Applicable to Transfer Agents
- FAQ Applicable to Clearing House Agents

General FAQs Applicable to All Firms

Q1: Where does my firm get fingerprint cards?

A1: Fingerprint cards are available for purchase. Contact the FINRA Gateway Call Center at 240-386-4200.

Q2: How do complete a fingerprint card?

A2:

1. All fingerprint cards should contain a barcode. If using a barcode sticker, the sticker should be placed in the "Your No: OCA" field on the card. If you need a supply of barcode stickers, contact the FINRA Gateway Call Center at (301) 590-6500 to order a supply. There is no charge for the barcode stickers.
2. All fingerprints should be taken in **black ink**.
3. Always complete the employer's name, address, and Org ID number on every fingerprint card submitted. This is especially important when submitting large batches of fingerprint cards as the cards could get separated during processing.
4. Review the following data on the card for accuracy:
 - Individual's Name
 - Social Security Number (if applicable)
 - Date of Birth
 - Place of Birth
 - Sex
 - Height
 - Weight
 - Hair color (using the [three-letter code](#))
 - Eye color (using the [three-letter code](#))
5. Write clearly on the card to ensure that the fingerprint card can be processed in a timely manner. Information on the card must be legible or the card will be rejected.
6. The fingerprint card should be signed by the person being fingerprinted AND by the official taking the fingerprints. Do not highlight any information or any portion of the fingerprint card or the FBI will reject the card.

Q3: How does a firm complete the Social Security Number (SS#) block of a fingerprint card for a Foreign Associate who does not have a SS#? Should the firm indicate that the person is "foreign" on the card? Should the firm indicate on a fingerprint card that a SS# has been requested but not yet issued?

A3: The SS# block on the fingerprint card is NOT mandatory. A firm should only provide a SS# on the card if the person has one. If there is no SS# (or the individual is in the process of applying for one), the firm should leave the SS# blank. A firm should NOT write "foreign" anywhere on the card. The "Citizenship" block indicates the country designation where the person was born.

Q4: Where on the fingerprint card does the barcode sticker get placed if a card needs one?

A4: If you need to place a barcode sticker on a fingerprint card, the sticker should **only** be placed in the area marked "Your No: OCA" in the upper left corner of the card. Barcodes are used by FINRA and the FBI for tracking purposes.

Q5: SEC Rule 17f-2 (Fingerprinting of Securities Industry Personnel) under the 1934 Securities Exchange Act requires that a firm may need to submit three sets of fingerprints if results are returned as illegible. Can my firm submit all three sets of fingerprints at once?

A5: FINRA does not accept duplicate sets of fingerprints for the same individual at the same time. Duplicate cards are returned to the applicable firm.

Q6: Do firms need to fingerprint their college interns?

A6: It depends on what duties the intern will perform for the firm. Firms can impose their own requirements on top of those required by law, but Rule 17f-2 exempts employees from fingerprinting who do not:

- Sell securities;
- Regularly have access to the keeping, handling or processing of securities, monies or the original books and records relating to the securities or monies; or
- Have direct supervisory responsibility over those who sell securities or have access to securities, monies or the original books and records.
- Most interns will likely not perform any of these three functions, but if they do, firms must fingerprint those interns.

Q7: Is a foreign national or foreign resident exempt from submitting fingerprints?

A7: Pursuant to Section 17(f)(2) of the Securities Exchange Act of 1934 and Rule 17f-2 thereunder, the SEC requires firms to require their partners, directors, officers and employees to be fingerprinted and to have their fingerprints processed, unless they are exempt under those same provisions. A firm is responsible for determining whether an individual or the employing firm itself is eligible to claim one or more of the exemptions specified in Rule 17f-2, and for preparing and maintaining records supporting any claimed exemption as required by the Rule.

Q8: What happens if fingerprints cannot be processed?

A8: If fingerprints were submitted by card, FINRA will return the deficient fingerprint card to the appropriate firm if mandatory information such as date of birth, address, name, firm name and signature are not provided on the card.

Q9: What are the codes for hair color and eye color?

A9:

Hair Color	Code	Eye Color	Code
Bald	BAL	Black	BLK
Black	BLK	Blue	BLU
Blonde or Strawberry	BLN	Brown	BRO
Brown	BRO	Gray	GRY
Gray or Partially Gray	GRY	Hazel	HAZ
Red or Auburn	RED	Maroon	MAR
Sandy	SDY	Multicolored	MUL
White	WHI	Pink	PNK
Blue	BLU		
Green	GRN		
Orange	ONG		
Pink	PNK		
Purple	PLE		

Fingerprint Card Required Fields for Processing

APPLICANT		LEAVE BLANK	TYPE OR PRINT ALL INFORMATION IN BLACK						LEAVE BLANK			
			LAST NAME <u>NAM</u>	FIRST NAME	MIDDLE NAME							
			Required									
SIGNATURE OF PERSON FINGERPRINTED			ALIASES <u>AKA</u>	<u>O</u>	<u>R</u>	<u>I</u>	DCSEC001Z, NASDR/NON-MEMBER ROCKVILLE MD					
EMPLOYER AND ADDRESS			CITIZENSHIP <u>CTZ</u>	SEX	RACE	HGT.	WGT.	EYES	HAIR	DATE OF BIRTH <u>DOB</u> Month Day Year		
DATE	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS									Required		
YOUR NO.	<u>QCA</u>		FBI NO. <u>FBI</u>	Accuracy Fields						PLACE OF BIRTH <u>POB</u> Accuracy Field		
			ARMED FORCES NO <u>MNU</u>	LEAVE BLANK								
			SOCIAL SECURITY NO <u>SOC</u> Required*	CLASS _____								
			MISCELLANEOUS NO <u>MNU</u>	REF _____								
REASON FINGERPRINTED		ORG CRD #	SEC RULE 17f-2	Accuracy Field								

Instructions on how to fill out a hard copy fingerprint card correctly.

1. All fields marked "Required" has to be completed with the exception of the Social Security Number (only required if born in the US).
2. All fields marked "Accuracy Field" should be filled out to process the fingerprint card to the correct individual and firm CRD number.
3. All fingerprint cards should be taken in **black ink**.
4. For more information go to: <http://www.finra.org/industry/fingerprints>

- Required when an individual is born in the United States or US Citizen.
- Employer and Address field; ORD CRD # is used to connect employer with employee in TAR database.
- Sex, Height, Weight, Eyes, Hair, and POB is used to determine same individual with common names.

APPLICANT

LEAVE BLANK

LAST NAME NAM FIRST NAME _____ MIDDLE NAME _____

LEAVE BLANK

SIGNATURE OF PERSON FINGERPRINTED

ALIASES AKAO
R
I

DCSEC001Z

FINRA / NON-MEMBER
ROCKVILLE MDDATE OF BIRTH DOB
Month Day Year

EMPLOYER AND ADDRESS

CITIZENSHIP CTZSEX RACE HGT. WGT. EYES HAIR PLACE OF BIRTH POB

DATE SIGNATURE OF OFFICIAL TAKING FINGERPRINTS

YOUR NO. OCA

FINRA 5600174107

REASON FINGERPRINTED

SEC RULE 17f-2

ORG ID #

47432

CLASS _____

REF. _____

LEAVE BLANK

FBI NO. FBIARMED FORCES NO. MNUSOCIAL SECURITY NO. SOC

INDIVIDUAL CRD NO.

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

1. LOOP



CENTER
OF LOOP

DELTA

THE LINES BETWEEN CENTER OF
LOOP AND DELTA MUST SHOW

2. WHORL



DELTA'S

THESE LINES RUNNING BETWEEN
DELTA'S MUST BE CLEAR

3. ARCH



ARCHES HAVE NO DELTAS

THIS CARD FOR USE BY:

1. LAW ENFORCEMENT AGENCIES IN FINGERPRINTING APPLICANTS FOR LAW ENFORCEMENT POSITIONS.*
2. OFFICIALS OF STATE AND LOCAL GOVERNMENTS FOR PURPOSES OF EMPLOYMENT, LICENSING, AND PERMITS, AS AUTHORIZED BY STATE STATUTES AND APPROVED BY THE ATTORNEY GENERAL OF THE UNITED STATES. LOCAL AND COUNTY ORDINANCES, UNLESS SPECIFICALLY BASED ON APPLICABLE STATE STATUTES DO NOT SATISFY THIS REQUIREMENT.*
3. U.S. GOVERNMENT AGENCIES AND OTHER ENTITIES REQUIRED BY FEDERAL LAW.
4. OFFICIALS OF FEDERALLY CHARTERED OR INSURED BANKING INSTITUTIONS TO PROMOTE OR MAINTAIN THE SECURITY OF THOSE INSTITUTIONS.

INSTRUCTIONS:

Please review this helpful information to aid in the successful processing of hard copy criminal and civil fingerprint submissions in order to prevent delays or rejections. Hard copy fingerprint submissions must meet specific criteria for processing by the Federal Bureau of Investigation.

Ensure all information is typed or legibly printed using blue or black ink.

Enter data within the boundaries of the designated field or block.

Complete all required fields.(If a required field is left blank, the fingerprint card may be immediately rejected without further processing.)

- The required fields for hard copy fingerprint cards are: originating agency identifier number - date of birth - place of birth - name - sex - fingerprint impressions- any applicable state stamp- Other (race, height, weight, eye color, hair color) - reason fingerprinted and date fingerprinted.

Do not use highlighters on fingerprint cards.

Do not enter data or labels within 'Leave Blank' areas.

Ensure the 'Reply Desired' field is checked when applicable (criminal only).

Ensure fingerprint impressions are rolled completely from nail to nail.

Ensure fingerprint impressions are in the correct sequence.

Ensure notations are made for any missing fingerprint impression (i.e. amputation).

Do not use more than two retabs per fingerprint impression block.

Ensure no stray marks are within the fingerprint impression blocks.

Training aids can be ordered online via the Internet by accessing the FBI's website at: fbi.gov, click on 'Fingerprints', then click on 'Ordering Fingerprint Cards & Training Aids'. Direct questions to the Identification and Investigative Services Section's Customer Service Group at (304) 625-5590 or by e-mail at <liaison@leo.gov>.

PRIVACY ACT STATEMENT

Authority: The FBI's acquisition, preservation, and exchange of fingerprints and associated information is generally authorized under 28 U.S.C. 534. Depending on the nature of your application, supplemental authorities include Federal statutes, State statutes pursuant to Pub.L. 92-544, Presidential Executive Orders, and federal. Providing your fingerprints and associated information is voluntary; however, failure to do so may affect completion or approval of your application.

Social Security Account Number (SSAN). Your SSAN is needed to keep records accurate because other people may have the same name and birth date. Pursuant to the Federal Privacy Act of 1974 (5 USC 552a), the requesting agency is responsible for informing you whether disclosure is mandatory or voluntary, by what statutory or other authority your SSAN is solicited, and what uses will be made of it. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

Principal Purpose: Certain determinations, such as employment, licensing, and security clearances, may be predicated on fingerprint-based background checks. Your fingerprints and associated information/biometrics may be provided to the employing, investigating, or otherwise responsible agency, and/or the FBI for the purpose of comparing your fingerprints to other fingerprints in the FBI's Next Generation Identification (NGI) system or its successor systems (including civil, criminal, and latent fingerprint repositories) or other available records of the employing, investigating, or otherwise responsible agency. The FBI may retain your fingerprints and associated information/biometrics in NGI after the completion of this application and, while retained, your fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI.

Routine Uses: During the processing of this application and for as long thereafter as your fingerprints and associated information/biometrics are retained in NGI, your information may be disclosed pursuant to your consent, and may be disclosed without your consent as permitted by the Privacy Act of 1974 and all applicable Routine Uses as may be published at any time in the Federal Register, including the Routine Uses for the NGI system and the FBI's Blanket Routine Uses. Routine uses include, but are not limited to, disclosures to: employing, governmental or authorized non-governmental agencies responsible for employment, contracting, licensing, security clearances, and other suitability determinations, local, state, tribal, or federal law enforcement agencies; criminal justice agencies; and agencies responsible for national security or public safety.

Additional Information: The requesting agency and/or the agency conducting the application-investigation will provide you additional information pertinent to the specific circumstances of this application, which may include identification of other authorities, purposes, uses, and consequences of not providing requested information. In addition, any such agency in the Federal Executive Branch has also published notice in the Federal Register describing any system(s) of records in which that agency may also maintain your records, including the authorities, purposes, and routine uses for the system(s).

- PRINTS MUST GENERALLY BE CHECKED THROUGH THE APPROPRIATE STATE IDENTIFICATION BUREAU, AND ONLY THOSE FINGERPRINTS FOR WHICH NO DISQUALIFYING RECORD HAS BEEN FOUND LOCALLY SHOULD BE SUBMITTED FOR FBI SEARCH.
- IDENTITY OF PRIVATE CONTRACTORS SHOULD BE SHOWN IN SPACE "EMPLOYER AND ADDRESS". THE CONTRIBUTOR IS THE NAME OF THE AGENCY SUBMITTING THE FINGERPRINT CARD TO THE FBI.
- FBI NUMBER, IF KNOWN, SHOULD ALWAYS BE FURNISHED IN THE APPROPRIATE SPACE.

APPLICANT

LEAVE BLANK

LAST NAME NAM TYPE OR PRINT ALL INFORMATION IN BLACK
FIRST NAME _____ MIDDLE NAME _____

LEAVE BLANK

SIGNATURE OF PERSON FINGERPRINTED

EMPLOYER AND ADDRESS

DATE SIGNATURE OF OFFICIAL TAKING FINGERPRINTS

YOUR NO. OCA

FINRA 5600174108

REASON FINGERPRINTED

SEC RULE 17f-2

47432

ORG ID #

ALIASES AKAOR
ICITIZENSHIP CTZDCSEC001Z
FINRA / NON-MEMBER
ROCKVILLE MDDATE OF BIRTH DOB
Month Day YearSEX RACE HGT WGT EYES HAIR PLACE OF BIRTH POB

LEAVE BLANK

FBI NO. FBI

CLASS _____

ARMED FORCES NO. MNU

REF. _____

SOCIAL SECURITY NO. SOC

INDIVIDUAL CRD NO.

1. R. THUMB

2. R. INDEX

3. R. MIDDLE

4. R. RING

5. R. LITTLE

6. L. THUMB

7. L. INDEX

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LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY

L. THUMB

R. THUMB

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1. LOOP



CENTER
OF LOOP

DELTA

THE LINES BETWEEN CENTER OF
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2. WHORL



DELTA'S

THESE LINES RUNNING BETWEEN
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3. ARCH



ARCS HAVE NO DELTAS

(REV. 9/2016)

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FINRA 5600174109

REASON FINGERPRINTED

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ALIASES AKAO
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DCSEC001Z

FINRA / NON-MEMBER
ROCKVILLE MDDATE OF BIRTH DOB
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SEX RACE HGT WGT EYES HAIR

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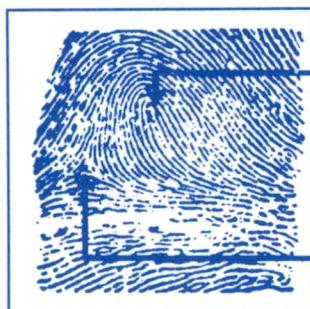
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Principal Purpose: Certain determinations, such as employment, licensing, and security clearances, may be predicated on fingerprint-based background checks. Your fingerprints and associated information/biometrics may be provided to the employing, investigating, or otherwise responsible agency, and/or the FBI for the purpose of comparing your fingerprints to other fingerprints in the FBI's Next Generation Identification (NGI) system or its successor systems (including civil, criminal, and latent fingerprint repositories) or other available records of the employing, investigating, or otherwise responsible agency. The FBI may retain your fingerprints and associated information/biometrics in NGI after the completion of this application and, while retained, your fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI.

Routine Uses: During the processing of this application and for as long thereafter as your fingerprints and associated information/biometrics are retained in NGI, your information may be disclosed pursuant to your consent, and may be disclosed without your consent as permitted by the Privacy Act of 1974 and all applicable Routine Uses as may be published at any time in the Federal Register, including the Routine Uses for the NGI system and the FBI's Blanket Routine Uses. Routine uses include, but are not limited to, disclosures to: employing, governmental, or authorized non-governmental agencies responsible for employment, contracting, licensing, security clearances, and other suitability determinations; local, state, tribal, or federal law enforcement agencies; criminal justice agencies; and agencies responsible for national security or public safety.

Additional Information: The requesting agency and/or the agency conducting the application-investigation will provide you additional information pertinent to the specific circumstances of this application, which may include identification of other authorities, purposes, uses, and consequences of not providing requested information. In addition, any such agency in the Federal Executive Branch has also published notice in the Federal Register describing any system(s) of records in which that agency may also maintain your records, including the authorities, purposes, and routine uses for the system(s).

- PRINTS MUST GENERALLY BE CHECKED THROUGH THE APPROPRIATE STATE IDENTIFICATION BUREAU, AND ONLY THOSE FINGERPRINTS FOR WHICH NO DISQUALIFYING RECORD HAS BEEN FOUND LOCALLY SHOULD BE SUBMITTED FOR FBI SEARCH.
- IDENTITY OF PRIVATE CONTRACTORS SHOULD BE SHOWN IN SPACE "EMPLOYER AND ADDRESS". THE CONTRIBUTOR IS THE NAME OF THE AGENCY SUBMITTING THE FINGERPRINT CARD TO THE FBI.
- FBI NUMBER, IF KNOWN, SHOULD ALWAYS BE FURNISHED IN THE APPROPRIATE SPACE.

LEAVE BLANK

APPLICANTLAST NAME NAM TYPE OR PRINT ALL INFORMATION IN BLACK
FIRST NAME _____ MIDDLE NAME _____

LEAVE BLANK

SIGNATURE OF PERSON FINGERPRINTED

EMPLOYER AND ADDRESS

DATE SIGNATURE OF OFFICIAL TAKING FINGERPRINTS

YOUR NO. OCA

FINRA 5600174110

REASON FINGERPRINTED

SEC RULE 17f-2

47432

ALIASES AKAOR
IDCSEC001Z
FINRA / NON-MEMBER
ROCKVILLE MDDATE OF BIRTH DOB
Month Day YearCITIZSHIP CTZ

SEX RACE HGT WGT EYES HAIR

PLACE OF BIRTH POBFBI NO. FBI

CLASS _____

ARMED FORCES NO. MNU

REF. _____

SOCIAL SECURITY NO. SOC

INDIVIDUAL CRD NO.

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

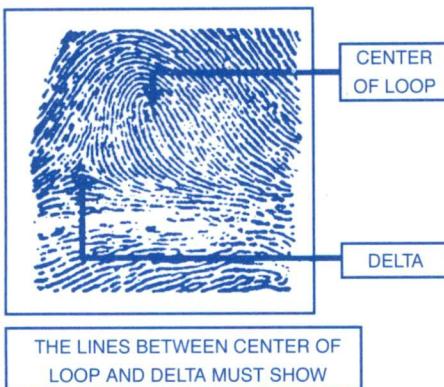
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY

L. THUMB

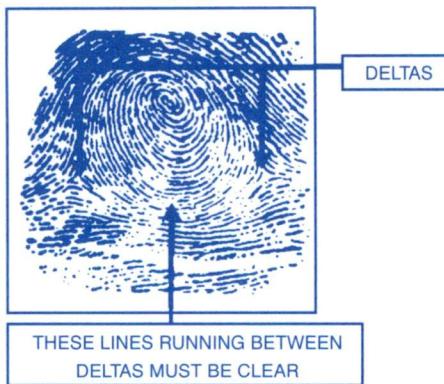
R. THUMB

RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY

1. LOOP



2. WHORL



3. ARCH



THIS CARD FOR USE BY:

1. LAW ENFORCEMENT AGENCIES IN FINGERPRINTING APPLICANTS FOR LAW ENFORCEMENT POSITIONS.*
2. OFFICIALS OF STATE AND LOCAL GOVERNMENTS FOR PURPOSES OF EMPLOYMENT, LICENSING, AND PERMITS, AS AUTHORIZED BY STATE STATUTES AND APPROVED BY THE ATTORNEY GENERAL OF THE UNITED STATES, LOCAL AND COUNTY ORDINANCES, UNLESS SPECIFICALLY BASED ON APPLICABLE STATE STATUTES DO NOT SATISFY THIS REQUIREMENT.*
3. U.S. GOVERNMENT AGENCIES AND OTHER ENTITIES REQUIRED BY FEDERAL LAW.
4. OFFICIALS OF FEDERALLY CHARTERED OR INSURED BANKING INSTITUTIONS TO PROMOTE OR MAINTAIN THE SECURITY OF THOSE INSTITUTIONS.

INSTRUCTIONS:

Please review this helpful information to aid in the successful processing of hard copy criminal and civil fingerprint submissions in order to prevent delays or rejections. Hard copy fingerprint submissions must meet specific criteria for processing by the Federal Bureau of Investigation.

Ensure all information is typed or legibly printed using blue or black ink.

Enter data within the boundaries of the designated field or block.

Complete all required fields. (If a required field is left blank, the fingerprint card may be immediately rejected without further processing.)

- The required fields for hard copy fingerprint cards are: originating agency identifier number - date of birth - place of birth - name - sex - fingerprint impressions - any applicable state stamp - Other (race, height, weight, eye color, hair color) - reason fingerprinted and date fingerprinted.

Do not use highlighters on fingerprint cards.

Do not enter data or labels within 'Leave Blank' areas.

Ensure the 'Reply Desired' field is checked when applicable (criminal only).

Ensure fingerprint impressions are rolled completely from nail to nail.

Ensure fingerprint impressions are in the correct sequence.

Ensure notations are made for any missing fingerprint impression (i.e. amputation).

Do not use more than two retabs per fingerprint impression block.

Ensure no stray marks are within the fingerprint impression blocks.

Training aids can be ordered online via the Internet by accessing the FBI's website at: fbi.gov, click on 'Fingerprints', then click on 'Ordering Fingerprint Cards & Training Aids'. Direct questions to the Identification and Investigative Services Section's Customer Service Group at (304) 625-5590 or by e-mail at <liaison@leo.gov>.

PRIVACY ACT STATEMENT

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Principal Purpose: Certain determinations, such as employment, licensing, and security clearances, may be predicated on fingerprint-based background checks. Your fingerprints and associated information/biometrics may be provided to the employing, investigating, or otherwise responsible agency, and/or the FBI for the purpose of comparing your fingerprints to other fingerprints in the FBI's Next Generation Identification (NGI) system or its successor systems (including civil, criminal, and latent fingerprint repositories) or other available records of the employing, investigating, or otherwise responsible agency. The FBI may retain your fingerprints and associated information/biometrics in NGI after the completion of this application and, while retained, your fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI.

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APPLICANT

LEAVE BLANK

LAST NAME NAM FIRST NAME _____ MIDDLE NAME _____

LEAVE BLANK

SIGNATURE OF PERSON FINGERPRINTED

ALIASES AKAO
R
I

DCSEC001Z

FINRA / NON-MEMBER
ROCKVILLE MDDATE OF BIRTH DOB
Month Day Year

EMPLOYER AND ADDRESS

CITIZENSHIP CTZSEX RACE HGT. WGT. EYES HAIR PLACE OF BIRTH POB

DATE SIGNATURE OF OFFICIAL TAKING FINGERPRINTS

YOUR NO. OCA

FINRA 5600174111

FBI NO. FBI

CLASS _____

REASON FINGERPRINTED

SEC RULE 17f-2

ORG ID #

47432

ARMED FORCES NO. MNU

REF. _____

SOCIAL SECURITY NO. SOC

INDIVIDUAL CRD NO.

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

1. LOOP



CENTER
OF LOOP

DELTA

THE LINES BETWEEN CENTER OF
LOOP AND DELTA MUST SHOW

2. WHORL



DELTA'S

THESE LINES RUNNING BETWEEN
DELTA'S MUST BE CLEAR

3. ARCH



ARCHES HAVE NO DELTA'S

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