



ARIZONA CORPORATION COMMISSION

Fingerprint Card Submission **Cover Sheet**

Applicant CRD # _____

Applicant Name: _____

Applicant Phone # or Email Address: _____

Firm Name: _____

Firm Contact Name: _____ Phone # _____

The Division will return fingerprinting documents and fees that are not submitted in accordance with the instruction packet. Please use the checklist below to avoid delays in the application processes due to fingerprinting.

An application (U4 Filing) is on file for the applicant in the Web IARD/CRD system

The applicant's fingerprint card is complete

The fingerprint technician completed the Verification Form

The fingerprint card is in a sealed envelope

A fee payable to the Arizona Corporation Commission is included in the submission (check, money order or cashier's check)



ARIZONA CORPORATION COMMISSION

FINGERPRINT INSTRUCTIONS

Fingerprints are required for securities industry applicants pursuant to A.R.S. § 44-1945.A.8, A.R.S. § 44-3153.C.6, A.R.S. § 44-3156.C.3, and Rule R14-4-122.

You must submit a fingerprint card to the Arizona Corporation Commission, Securities Division, as follows:

- All spaces must be completed in **black ink only**. You must clearly print all information on the card except for the signature. If the card is incomplete, it will be returned to the Firm/Applicant. Do not highlight any of the fingerprint sections of the card.
- Have a clear set of fingerprints applied to the fingerprint card by the professional fingerprinting technician.
- Make sure that the fingerprint technician:
 - verifies your identity using your government-issued photo ID;
 - completes the Fingerprint Verification Form;
 - seals the Fingerprint Verification Form along with the completed fingerprint card in an appropriately sized envelope.
- Submit the SEALED/UNOPENED ENVELOPE containing the completed fingerprint card, Fingerprint Verification Form and Cover Sheet to the Arizona Corporation Commission. If the envelope is opened, the fingerprint card will be rejected.
- Submit the FBI fingerprint card processing fee (\$22.00 for each card) in conjunction with your submission of the completed fingerprint card.

NOTE: The FBI fingerprint card processing fee should be made payable to the Arizona Corporation Commission in the form of a check, cashier's check or money order. The Arizona Corporation Commission will not accept checks that do not have a check number and preprinted name and address of the account holder.

FINGERPRINT CARD LEGEND

One fingerprint card is required for each person. If your fingerprint card is rejected by the Arizona Department of Public Safety, you will be required to provide another card. **Do not fold, bend, staple or punch holes in the card.**

To establish uniform reporting of information, the following guidelines are provided:

Applicant's full name: Last name, First name, Middle name sequence (do not use initials).

Aliases (AKA): You must enter all other names; including maiden and married names.

Signature of person fingerprinted: Applicant to sign in **BLACK INK**.

Residence of person fingerprinted: Enter applicant's residential address and not mailing address.

Date of birth (DOB): MM/DD/YYYY format

Place of birth: Enter state abbreviation (e.g. AZ)

Date: This is the date the applicant was fingerprinted.

Signature of Official taking prints: To be completed by the fingerprint technician.

Sex: M for Male, F for Female

Social Security Number: Enter number in XXX-XX-XXXX format. Leave blank if applicant does not have one.

Race: Enter the one letter abbreviation for race.

A	Asian/Pacific Islander
B	Black
I	American Indian or Alaskan Native
W	White or Hispanic
U	Unknown

Height: Enter the height in feet and inches

Weight: Enter your weight in pounds

Eyes: Black	BLK	Gray	GRY	Pink	PNK
Blue	BLU	Green	GRN	Maroon	MAR
Brown	BRO	Hazel	HAZ	Multicolored.	MUL

Hair: Bald	BLD	Brown	BRO	Sandy	SDY
Black	BLK	Gray	GRY	White	WHI
Blonde	BLN	Red/Auburn...	RED	Bald	XXX

EXAMPLE

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK				LEAVE BLANK	
SIGNATURE OF PERSON FINGERPRINTED SIGNATURE OF APPLICANT		LAST NAME VADER		FIRST NAME DARTH		MIDDLE NAME JAMES			
RESIDENCE OF PERSON FINGERPRINTED STREET ADDRESS CITY, STATE, ZIP		ALIASES AKA BADGUY, GUS		OR I AZDPS2000		DPS-AFIS OPERATIONS PHOENIX, AZ		DATE OF BIRTH DOB Month Day Year 05 05 1955	
DATE SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		CITIZENSHIP CIT		M W		604 300 BLK BLK		PLACE AZ ETH POB	
EMPLOYEE ONLY ADDRESS NAME OF AGENCY MAILING ADDRESS CITY, STATE ZIP		TOUR NO. OCA		LEAVE BLANK					
REASON FOR SUBMISSION STATUTORY AUTHORITY		FBI NO. FBI		CLASS _____					
		ARMED FORCES NO. ANU		REF. _____					
		SOCIAL SECURITY NO. SOC 555-55-5555							
		MC _____							

→ **ROLL PRINTS**

Right thumb		Right middle finger	Right ring finger	Right little finger
1. R. THUMB	2. R. INDEX	3. R. MIDDLE	4. R. RING	5. R. LITTLE

→ **ROLL PRINTS**

Left thumb	Left index finger	Left middle finger	Left ring finger	Left little finger
6. L. THUMB	7. L. INDEX	8. L. MIDDLE	9. L. RING	10. L. LITTLE

→ **PRESS PRINTS FLAT**

Left four fingers taken at the same time	Left	Right		2
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ARIZONA CORPORATION COMMISSION

FINGERPRINT VERIFICATION FORM

ATTENTION FINGERPRINT TECHNICIAN:

Please follow the instructions below for fingerprinting this applicant.

1. Please fill out or ensure that the applicant has filled out all the required boxes on the fingerprint card prior to taking the fingerprints.
2. Request a valid, unexpired government-issued photo ID from the applicant and compare the physical descriptors on the applicant's photo ID to the applicant and to the information on the fingerprint card.
3. Fill out the information in the boxes below. Please print clearly.
4. Once the prints have been taken, place the fingerprint card and this form into an appropriately sized envelope and seal it. Return the sealed envelope to the applicant. **Do not give the applicant the card without first sealing it inside an envelope. Do not fold, bend, staple or punch holes in the card.**

PRINT the following information:

Date:	Name of Applicant:
Name of Fingerprint Technician (PRINT):	
Fingerprint Technician's Signature:	
Fingerprint Technician's Agency/Company Name:	
Type of Photo ID provided (check one):	
<input type="checkbox"/> Driver's License/MVD Issued ID	<input type="checkbox"/> Other (Please specify)
<input type="checkbox"/> Passport	_____

NOTIFICATION OF APPLICANT PRIVACY RIGHTS

Fingerprints are required for securities industry applicants pursuant to A.R.S. § 44-1945.A.8, A.R.S. § 44-3153.C.6, A.R.S. § 44-3156.C.3, and Rule R14-4-122. Your fingerprints will be used to check the criminal history records of the FBI. As an applicant you have a right to review and challenge information contained in the criminal history record obtained from the fingerprints you submitted for the purpose of licensing with the Arizona Corporation Commission, Securities Division. If you feel the information is inaccurate or incomplete it is your responsibility to review and challenge the information if that is your desire.

If you have a criminal history record, the officials making a determination of your suitability for employment, license, or other benefit must provide you the opportunity to complete or challenge the accuracy of the information in the record. You should be afforded a reasonable amount of time to correct or complete the record (or decline to do so) before officials deny you employment, license, or other benefit based on information in the criminal history record.

The procedures for obtaining a change, correction, or updating of your FBI criminal history record are set forth in Title 28, Code of Federal Regulations (CFR), Sections 16.30 through 16.34. Information on how to review and challenge your FBI criminal history record can be found at www.fbi.gov under "Services" and then "Identity History Summary Checks" or by calling (304) 625-5590.

To obtain a copy of your Arizona criminal history in order to review/update/correct the record, you can contact the Arizona Department of Public Safety Criminal History Records Unit at (602) 223-2222 to obtain a fingerprint card and a Review and Challenge packet. Information on the review and challenge process can be found on the DPS website at www.azdps.gov.