

Electronic Fingerprint Processing (EFP) enables FINRA to exchange information with the FBI electronically. Broker-Dealer firms submit hard and/or electronic fingerprint cards to FINRA for processing (see www.finra.org/efs for more information about electronic fingerprint submissions). FINRA forwards the fingerprint information electronically to the FBI. The FBI results are automatically uploaded to Web CRD®.

Things you should know about EFP

- ◆ Hardcopy fingerprints should be forwarded to:
FINRA
Attention: Document Services
9509 Key West Avenue
Rockville, MD 20850
- ◆ Fingerprint information can be accessed in Web CRD: <https://crd.finra.org>. Fingerprint submission results are generally posted in Web CRD within 72 business hours after the submission is sent to the FBI.
- ◆ Entitled users can view the FBI response to fingerprint submissions in **View Individual**. Users that have the required entitlement will have to select the **Show Statuses** button, **Accept** the special **Terms and Conditions** to view the status received from the FBI.
- ◆ Entitled users can access the dispositions of all fingerprints submitted by a firm electronically, via the **Fingerprint Status Received from FBI Notice** queue in Web CRD. Users who wish to view Criminal History Record Information (CHRI) must have **View CHRI Information** privileges.
- ◆ When FINRA receives the fingerprint submission from your firm and scans the submission for transmission to the FBI, the individual's registration status changes from **Approved Pending Prints** (or another appropriate status such as Deficient) to **Approved Pending Results**. Once the FBI result of either **CLER** or **RAPP** is posted to Web CRD, the individual's status is updated to Approved if the individual has no other deficiencies.
- ◆ To ensure accurate processing, all fingerprint submissions must include the firm's CRD number, the individual's CRD number, and the individual's social security number, if applicable. The submission must also include Sex, DOB, Place of Birth, Height, Weight, Hair and Eye Color.
- ◆ Click [here](#) to see the **Fingerprint Fees**.

Questions on Web CRD? Call the Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday-Friday.

Fingerprint Submission Process

◇ **Initial Submission:** When the firm submits a Form U4 for an individual and selects the first fingerprint option, the individual's registration status with fingerprint participating SROs becomes **Approved Pending Prints (APPRNT)**. The firm has 30 days from the filing date to send a fingerprint submission for an individual; otherwise, the individual's registration status with fingerprint participating SROs updates to **Inactive Prints (INACTIVE_PRINTS)** and the individual cannot conduct activities requiring a securities registration.

If 2 years and 30 days pass with no fingerprint submission, the SRO registration status of the individual with fingerprint participating SROs updates to **Terminated No U5 (T_NOU5)**. When FINRA receives the fingerprint submission prior to 2 years and 30 days from the initial filing date, the individual's registration status updates to **Approved Pending Results (APRSLTS)**. At this time, the [FINRA Fingerprint Fee](#) is assessed and the fingerprint image is sent to the FBI.

The [FBI fingerprint fee](#) is assessed when the FBI result is posted to Web CRD. The individual's fingerprint status will depend on the result received. If the result is illegible (**ILEG**) or rejected (**REJT**), FINRA will systematically track the firm's fingerprint re-submission for that individual. Illegible and rejected submissions are not returned to firms. The individual's SRO registration status will update to **Approved Pending Prints** and the 30-day clock for submission will reset.

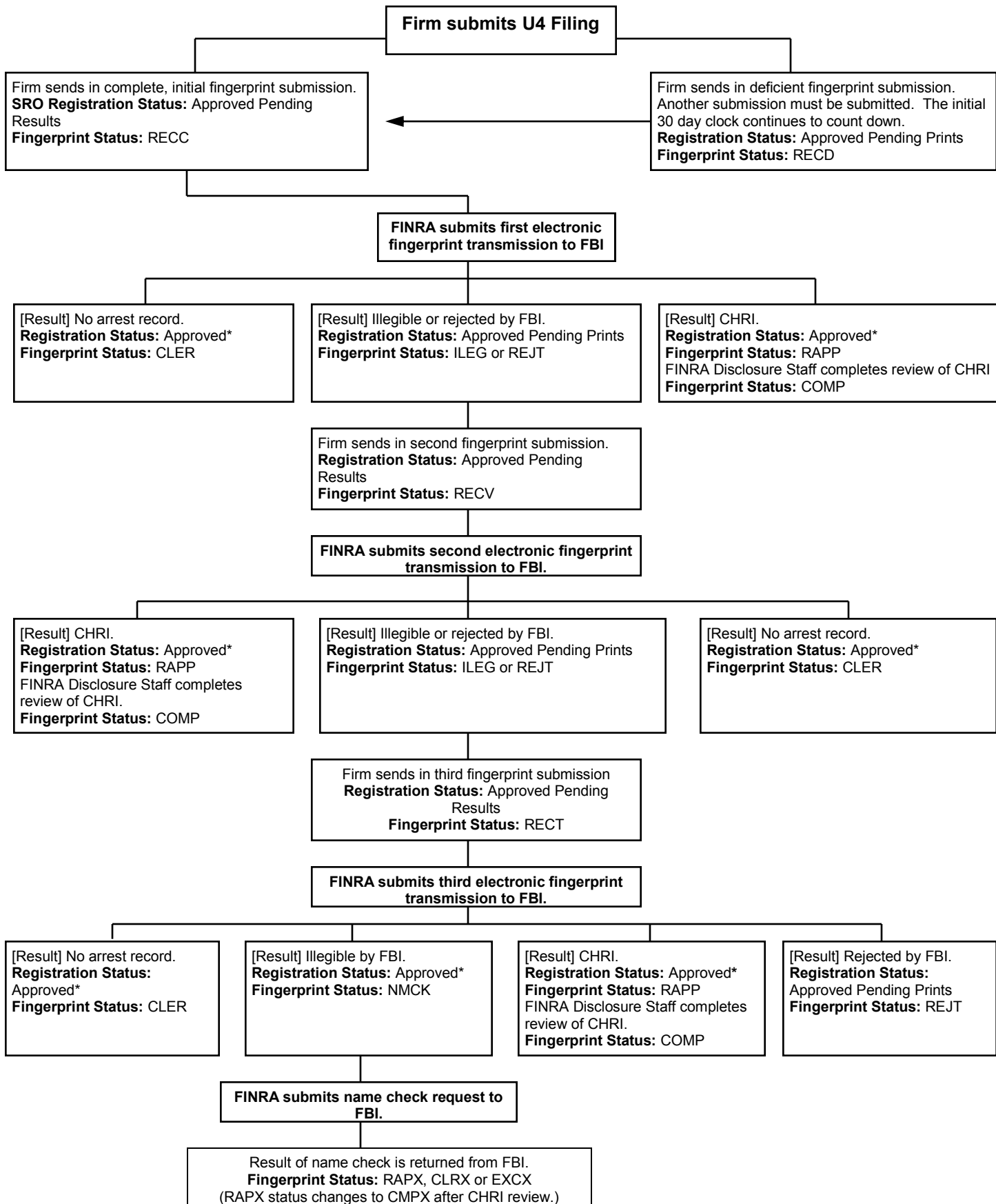
◇ **Second Submission:** When the first fingerprint submission to FINRA is determined by the FBI to be illegible, the second fingerprint submission to FINRA will only be assessed [FINRA's Fingerprint Fee](#). The individual's registration status will become **Approved Pending Results**. If the fingerprint result is illegible or rejected a second time, the individual's SRO registration status will update to **Approved Pending Prints** and the 30-day clock for a third submission will begin.

◇ **Third Submission:** With the third fingerprint submission to FINRA, both the FINRA and the FBI [fingerprint fees](#) are assessed. The individual's registration status will become **Approved Pending Results**. If the result of the third submission is illegible, FINRA will update the individual's fingerprint status to Name Check Search for this individual (**NMCK**), and the individual's registration status will be **Approved** (assuming no other deficiencies). The FBI will use the individual's demographic information to check for any CHRI, and upon return of the FBI result, the Fingerprint Status will update to **CLR, RAPX, CMPX, EXCX, or TERM** as applicable. If the result of the third submission is **REJT**, the individual's registration status will update to **Approved Pending Prints** and the 30-day clock will reset.

Fingerprint Status

CDPD	Firm provided barcode on form filing, and FINRA is awaiting receipt of fingerprints for processing.
CLER	FBI result indicating No Data was identified for fingerprints submitted.
CLRX	FBI result indicating No Data was identified based on Name Check search.
COMP	FINRA staff has completed review of CHRI identified by the FBI in response to fingerprints submitted.
CMPX	FINRA staff has completed review of CHRI identified by the FBI following Name Check search.
EXCX	FBI result indicating no match after Name Check search due to excessive candidates.
ILEG	FBI result indicating fingerprints submitted were determined to be illegible (by the FBI).
LGCY	Fingerprint status provided prior to August 1999 conversion to Web CRD.
NMCK	Individual is undergoing a Name Check search based on FBI determination that previous fingerprint submissions were illegible.
RAPP	FBI result indicating CHRI was identified for fingerprints submitted.
RAPX	FBI result indicating CHRI was identified based on a Name Check search.
RECC	Fingerprints received at FINRA and forwarded to the FBI for processing.
RECD	FINRA received fingerprint submission that is missing information required for processing.
RECP	Fingerprints were processed through another Self Regulatory Organization (SRO) and the FBI identified No Data.
RECR	Fingerprints were processed through another SRO and CHRI was identified.
RECT	A third fingerprint record was submitted to the FBI because fingerprints previously submitted were illegible.
RECV	A second fingerprint record was submitted to the FBI because fingerprints previously submitted were illegible.
RECX	Fingerprints were received and processed by FINRA.
REJT	Fingerprints were rejected by the FBI because required information was missing.
TERM	Fingerprint record reflects termination based on form filing or other process.
XMPT	Individual is exempt from fingerprinting requirement (SEA Rule 17f-2) based on illegible prints or other criteria in Rule 17f-2.

Electronic Fingerprint Submission Process Flow Chart



* Assuming no other deficiencies