

**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](http://www.finra.org/efs) for more information about submitting cards electronically). FINRA forwards the fingerprint information electronically to the FBI. The FBI results are automatically uploaded to Web CRD<sup>®</sup>.

### 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 card results are generally posted in Web CRD within 72 business hours after the card is sent to the FBI.
- ◆ Entitled users can view the FBI response to fingerprint card 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 card from your firm and scans the card 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.
- ◆ Firms are charged \$29.50 (FBI and FINRA fee for electronic submissions) or \$44.50 (FBI and FINRA fee for hard copy submissions) for the first submission of a fingerprint card. If the first submission is returned as illegible by the FBI, the fee to process the second submission is \$15 or \$30 (FINRA's processing fee). The processing fee for third submissions is \$29.50 or \$44.50 (FBI and FINRA fee).
- ◆ To ensure accurate processing, all fingerprint cards must include the firm's CRD number, the individual's CRD number, and the individual's social security number, if applicable. The card must also include Sex, DOB, Place of Birth, Height, Weight, Hair and Eye Color.

**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 submit a fingerprint card 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 card submission, the SRO registration status of the individual with fingerprint participating SROs updates to **Terminated No U5 (T\_NOU5)**. When FINRA receives the fingerprint card 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 card 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 re-submission of that individual's fingerprint card. Illegible and rejected cards will no longer be returned to firms. The individual's SRO registration status will update to **Approved Pending Prints** and the 30-day clock for submission will reset.

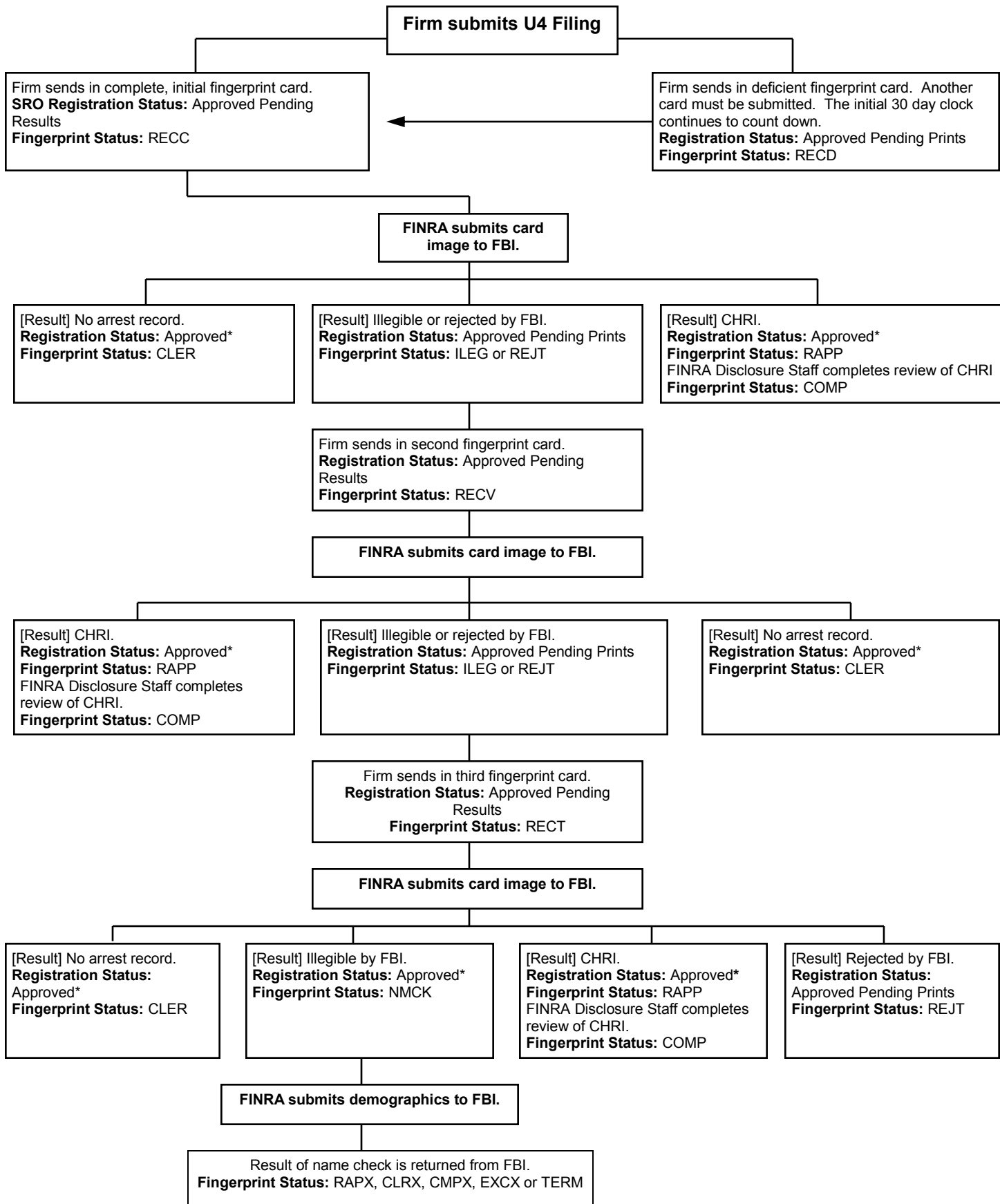
◇ **Second Submission:** When the first fingerprint card submitted to FINRA is determined to be illegible, the second fingerprint card submitted to FINRA will only be assessed FINRA's Fingerprint Fee (\$15 for electronic submissions or \$30 for hard copy submissions). The individual's registration status will become **Approved Pending Results**. If the fingerprint card 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:** When the third fingerprint card is submitted 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 **CLRX, 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

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