Electronic Fingerprint Processing (EFP) enables FINRA to exchange information with the FBI electronically. Broker-Dealer firms submit hard copy and/or electronic fingerprint cards to FINRA for processing (click here for more information about electronic fingerprint submissions). FINRA forwards the fingerprint information electronically to the FBI and the FBI results are automatically uploaded to the CRD system.

🎉 IMPORTANT NOTE:

All classic CRD features should now be accessed through FINRA Gateway, the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact FeedbackFINRAGateway@finra.org.

Contents:

- Logging in Through FINRA Gateway (pg. 2)
- Submitting and Viewing Fingerprint Cards (pg. 3)
- Fingerprint Card Processing (pg. 4)
- Fingerprint Card Statuses (pg. 5)
- Process Flow Chart (pg. 6)
Logging in Through FINRA Gateway

Beginning in Summer 2020, the new FINRA Gateway will become the primary method for accessing FINRA systems. To access FINRA Gateway:

1. Go to https://gateway.finra.org, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the Quick Links menu on the lower-left. Select Classic CRD from the list of links and then follow along with the rest of this guide.
Submitting and Viewing Fingerprint Cards

- Hardcopy fingerprints should be forwarded to:
  
  FINRA  
  Attention: Document Services  
  9509 Key West Avenue  
  Rockville, MD  20850

- Electronic Fingerprint Submission (EFS) is also available, please visit this page for vendor setup information.

- Fingerprint submission results are generally posted in 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 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.
Fingerprint Card Processing

- **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 **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 Card Statuses

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

Firm submits U4 Filing

Firm sends in complete, initial fingerprint submission.  
SRO Registration Status: Approved Pending  
Results  
Fingerprint Status: RECC

Firm sends in deficient fingerprint submission.  
Another submission must be submitted.  The initial 30 day clock continues to count down.  
Registration Status: Approved Pending Prints  
Fingerprint Status: RECD

FINRA submits first electronic fingerprint transmission to FBI

[Result] No arrest record.  
Registration Status: Approved*  
Fingerprint Status: CLER

[Result] Illegible or rejected by FBI.  
Registration Status: Approved Pending Prints  
Fingerprint Status: ILEG or REJT

FINRA submits second electronic fingerprint transmission to FBI.

[Result] CHRI.  
Registration Status: Approved*  
Fingerprint Status: RAPP  
FINRA Disclosure Staff completes review of CHRI  
Fingerprint Status: COMP

Firm sends in second fingerprint submission.  
Registration Status: Approved Pending Prints  
Results  
Fingerprint Status: RECEV

[Result] CHRI.  
Registration Status: Approved*  
Fingerprint Status: RAPP  
FINRA Disclosure Staff completes review of CHRI  
Fingerprint Status: COMP

FINRA submits third electronic fingerprint transmission to FBI.

[Result] CHRI.  
Registration Status: Approved*  
Fingerprint Status: RAPP  
FINRA Disclosure Staff completes review of CHRI  
Fingerprint Status: COMP

[Result] Rejected by FBI.  
Registration Status: Approved Pending Prints  
Fingerprint Status: REJT

Firm sends in third fingerprint submission  
Registration Status: Approved Pending  
Results  
Fingerprint Status: RECT

[Result] No arrest record.  
Registration Status: Approved*  
Fingerprint Status: CLER

[Result] Illegible by FBI.  
Registration Status: Approved*  
Fingerprint Status: NMCK

FINRA submits name check request to FBI.

Result of name check is returned from FBI.  
Fingerprint Status: RAPX, CLRX or EXCX  
(RAPX status changes to CMPX after CHRI review.)

* Assuming no other deficiencies