



ARIZONA CORPORATION COMMISSION

**AZCC Securities Division Fingerprint Card Submission Cover Sheet**

Arizona securities professionals applying for registration or licensure, must mail a completed fingerprint card and cover sheet to the Arizona Department of Public Safety (“DPS”) using your preferred mailing option. Please note your DPS Authorization number is located on your DPS receipt, so retain this number for your records.

ACC Agency Code: ACC-019.A (for securities and investment licensing)

DPS Authorization Number:

Applicant First Name:

Applicant Last Name:

CRD #:

DOB (optional):

<b>Overnight Delivery</b>	<b>Regular Mail</b>
AZ Dept. of Public Safety Attn: Applicant Team One 2222 W. Encanto Blvd Phoenix, AZ. 85009	AZ Dept. of Public Safety Attn: Applicant Team One PO Box 18430 MD 3190 Phoenix, AZ. 85005



## ARIZONA CORPORATION COMMISSION

### **Fingerprint Instruction Packet (Non-AZ Residents only)**

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.

These instructions explain the steps taken to process payment, describes each field of the fingerprint card, and includes applicant privacy rights. Please follow the instructions in their entirety to ensure a compliant submission.

1. Verify a form U4 has been submitted through your advisory firm or broker dealer. A form U4 must be on file prior to completing the fingerprinting process.
2. Go to [psp.azdps.gov](http://psp.azdps.gov).
3. Create or log into your existing account by locating the “Login/ Signup” icon in the top right corner of the screen.
4. Using your established account, select the Background Check icon.
5. Enter fingerprint code ACC-019.A and complete each page. Select “Submit & Pay” to remit the \$22.00 payment and any applicable credit card processing fee charged by DPS. **Please save the DPS generated authorization code (located on your payment receipt) as you will include this number on your submitted fingerprint card and cover sheet.**
6. Choose a fingerprint service provider and complete your appointment using the instructions below. The fingerprint provider must use fingerprint card stock FD-258, see the example on page four of these instructions.
7. Mail your hard-copy fingerprint card and cover sheet to the address provided on page one to the AZ Dept. of Public Safety.

**Please note:** Currently, DPS only accepts electronic fingerprint submissions from Arizona residents utilizing Fieldprint account services.

## 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:** Fingerprint technician must sign his/her name.

**Miscellaneous:** Enter the authorization number from your DPS receipt.

**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.

<b>A</b>	Asian/Pacific Islander
<b>B</b>	Black
<b>V</b>	American Indian or Alaskan Native
<b>W</b>	White or Hispanic
<b>U</b>	Unknown

**Height:** Enter the height in feet and inches

**Weight:** Enter your weight in pounds

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

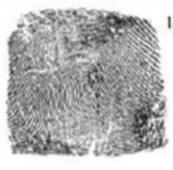

<b>Hair:</b> Bald .....	<b>BLD</b>	Brown .....	<b>BRO</b>	Sandy.....	<b>SDY</b>
Black .....	<b>BLK</b>	Gray .....	<b>GRY</b>	White.....	<b>WHI</b>
Blonde .....	<b>BLN</b>	Red/Auburn...	<b>RED</b>	Bald.....	<b>XXX</b>

- All spaces must be completed in **black ink only**. You must clearly print all information on the card except for required signatures. If the card is incomplete, the fingerprint card will not be processed. Do not highlight any of the fingerprint sections of the card.
- Have a clear set of fingerprints applied to the fingerprint card by a professional fingerprinting technician (max one card per applicant). Prints may be ink-rolled or scanned and printed onto a physical card.
- Complete payment using the Arizona Department of Public Safety’s Public Portal and include the authorization number provided on your DPS receipt in the Miscellaneous section of the fingerprint card.
- **NOTE:** The Arizona Corporation Commission requires a form U4 to be on file through WebCRD prior to completing the fingerprinting process

# EXAMPLE

APPLICANT	LEAVE BLANK	TYPE OR PRINT ALL INFORMATION IN BLACK				LEAVE BLANK
		LAST NAME <b>VADER</b>	FIRST NAME <b>DARTH</b>	MIDDLE NAME <b>JAMES</b>		
SIGNATURE OF PERSON FINGERPRINTED <b>SIGNATURE OF APPLICANT</b>		ALIASES <b>AKA BADGUY, GUS</b>	OR <b>O</b>	AZDPS2000 DPS-AFIS OPERATIONS		DATE OF BIRTH Month Day Year <b>05 05 1955</b>
RESIDENCE OF PERSON FINGERPRINTED STREET ADDRESS CITY, STATE, ZIP		VADER, JAMES		PHOENIX, AZ		PLACE BIRTH <b>AZ</b>
DATE OF BIRTH		CITIZENSHIP <b>C</b>	SEX <b>M</b>	WEIGHT <b>604</b>	HAIR COLOR <b>300</b>	SKIN COLOR <b>BLK BLK</b>
NAME OF AGENCY MAILING ADDRESS CITY, STATE ZIP		YOUR PHOTO <b>OCA</b>	LEAVE BLANK			
REASON FOR SUBMISSION STATUTORY AUTHORITY		FBI NO. <b>88</b>	ARMED FORCES NO. <b>MNY</b>	CLASS		SEE
		STATE/UNIVERSITY/FED. SOC. <b>DPS AUTH. CODE</b>				

<b>→ ROLL PRINTS</b>				
Right thumb		Right middle finger	Right ring finger	Right little finger
<small>1. R. THUMB</small>	<small>2. R. INDEX</small>	<small>3. R. MIDDLE</small>	<small>4. R. RING</small>	<small>5. R. LITTLE</small>
<b>→ ROLL PRINTS</b>				
Left thumb	Left index finger	Left middle finger	Left ring finger	Left little finger
<small>6. L. THUMB</small>	<small>7. L. INDEX</small>	<small>8. L. MIDDLE</small>	<small>9. L. RING</small>	<small>10. L. LITTLE</small>
<b>→ PRESS PRINTS FLAT</b>				
Left four fingers taken at the same time	Left	Right		
			<b>2</b>	

## 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 deciding 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](http://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 to review/update/correct the record, contact the Arizona Department of Public Safety Criminal History Records Unit at (602) 223-2222 for 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](http://www.azdps.gov).