



ARIZONA CORPORATION COMMISSION

AZCC Securities Division Electronic Background Check (Fingerprinting)

These instructions will explain the two-part process necessary to complete a state and federal records check for Applicants applying for registration/ licensure with the Arizona Securities Division (“Division”). The Arizona Department of Public Safety ("DPS") maintains a web portal to collect an Applicant’s information and payment. After payment is made, DPS will supply instructions on utilizing an electronic fingerprinting service provider, Fieldprint.

Please note: (1) If you do not provide the Division’s Fingerprint Code or the Fingerprint Code number is incorrect, the Division will not receive your fingerprint results. (2) The demographic information you provide to the DPS must be identical to that provided to Fieldprint (example: using your full middle name with DPS but your middle initial with Fieldprint will cause a delay).

Applicants unable to utilize Fieldprint services may request instructions on submitting a physical fingerprint card by contacting the Securities Division analyst.

Fingerprints are required for Arizona securities registration and licensing 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.

Step 1 of 2: Department of Public Safety - Public Portal Background Check Application

- A. 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.
- B. Go to psp.azdps.gov.
- C. Create or log into your existing account by locating the “Login/ Signup” icon in the top right corner of the screen.
- D. Using your established account, select the Background Check icon.
- E. Enter fingerprint code ACC-019.A, complete each page. On the “My Order” page, the \$22.00 payment¹ is paid by the Applicant by selecting the “Submit & Pay” option. **Save the DPS payment receipt for use in Step 2 of these instructions.**

Step 2 of 2: Fieldprint – A Nationwide Livescan Provider

- A. Go to www.fieldprintarizona.com.
- B. Select “Schedule Appointment”.
- C. Create or log into your existing account.
- D. From your established account, scroll down to “Background Check for Employment/Licensure”, then select “Continue with this Reason”, enter the Reference/Application number (i.e. A000#####) found on your DPS receipt and complete all subsections under the “Data Collection” tab.
- E. Create your appointment, pay², and receive confirmation of your appointment.

The Securities Division recommends sending a copy of your DPS payment receipt to prints@azcc.gov. Please include in the subject line your full name and your individual CRD number, you may leave the body of the email blank.

¹There is a \$0.44 credit card processing fee charged by DPS.

²There is a \$8.25 Fieldprint appointment fee.

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.

NONCRIMINAL JUSTICE APPLICANT'S PRIVACY RIGHTS

As an applicant who is the subject of a national fingerprint-based criminal history record check for a noncriminal justice purpose (such as an application for employment or a license, an immigration or naturalization matter, security clearance, or adoption), you have certain rights which are discussed below. All notices must be provided to you in writing.¹ These obligations are pursuant to the Privacy Act of 1974, Title 5, United States Code (U.S.C.) Section 552a, and Title 28 Code of Federal Regulations (CFR), 50.12, among other authorities.

- You must be provided an adequate written FBI Privacy Act Statement (dated 2013 or later) when you submit your fingerprints and associated personal information. This Privacy Act Statement must explain the authority for collecting your fingerprints and associated information and whether your fingerprints and associated information will be searched, shared, or retained.²
- You must be advised in writing of the procedures for obtaining a change, correction, or update of your FBI criminal history record as set forth at 28 CFR 16.34.
- You must be provided the opportunity to complete or challenge the accuracy of the information in your FBI criminal history record (if you have such a record).
- If you have a criminal history record, you should be afforded a reasonable amount of time to correct or complete the record (or decline to do so) before the officials deny you the employment, license, or other benefit based on information in the FBI criminal history record.
- If agency policy permits, the officials may provide you with a copy of your FBI criminal history record for review and possible challenge. If agency policy does not permit it to provide you a copy of the record, you may obtain a copy of the record by submitting fingerprints and a fee to the FBI. Information regarding this process may be obtained at <http://www.fbi.gov/services/cjis/identity-history-summary-checks> and <http://www.edo.cjis.gov>.
- If you decide to challenge the accuracy or completeness of your FBI criminal history record, you should send your challenge to the agency that contributed the questioned information to the FBI. Alternatively, you may send your challenge directly to the FBI by submitting a request via <http://www.edo.cjis.gov>. The FBI will then forward your challenge to the agency that contributed the questioned information and request the agency to verify or correct the challenged entry. Upon receipt of an official communication from that agency, the FBI will make any necessary changes/corrections to your record in accordance with the information supplied by that agency. (See 28 CFR 16.30 through 16.34.)
- You have the right to expect that officials receiving the results of the criminal history record check will use it only for authorized purposes and will not retain or disseminate it in violation of federal statute, regulation or executive order, or rule, procedure or standard established by the National Crime Prevention and Privacy Compact Council.³

¹Written notification includes electronic notification, but excludes oral notification.

² <https://www.fbi.gov/services/cjis/compact-council/privacy-act-statement>

³See 5 U.S.C. 552a(b); 28 U.S.C. 534(b); 34 U.S.C. § 40316 (formerly cited as 42 U.S.C. § 14616), Article IV(c); 28 CFR 20.21(c), 20.33(d) and 906.Z(d).