ARIZONA SECURITIES DIVISION- FINGERPRINT INSTRUCTIONS

These instructions explain how to complete the fingerprinting process required for applicants applying for registration or licensure with the Arizona Securities Division ("Division"). Fingerprints are required 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. The Arizona Department of Public Safety ("DPS") maintains a web portal to process an applicant's information and payment. After payment is made, DPS will supply instructions on utilizing an electronic fingerprinting service provider, Fieldprint.

Before you begin, please make sure a Form U4 application has been submitted by your broker-dealer or investment adviser firm.

Please note: (1) Use Service Code ARI-008.A exactly as listed below. If an incorrect service code is used, the Arizona Securities Division will not receive your fingerprint results. (2) The personal information you provide to the DPS and Fieldprint must match exactly (example: using your full middle name with DPS but your middle initial with Fieldprint will cause a delay).

Step 1: Department of Public Safety - Copper Portal Submission

A. Go to the Arizona Department of Public Safety's COPPER web portal (https://www.azdps.gov/copper-check-team and select "FOR APPLICANTS").
B. Enter Service Code **ARI-008. A** under the "Method 2" field and submit. Verify the transaction type displays: AZRS 44-1945 44-3153 44-3156 SECURITIES INDUSTRY PERSONNEL.
C. Complete each page of the Pre-Enrollment Application and select "Continue to Payment[1]".
D. Save or print your receipt and record the Reference ID number as it is required for a Fieldprint appointment. **IMPORTANT** Do NOT close your browser after downloading your receipt, you must click "Continue" to finalize the transaction.

Step 2: Schedule Fieldprint Appointment

A. Go to www.fieldprintarizona.com.
B. Select "Schedule Appointment".
C. Create an account or log in.
D. Scroll down to "Background Check for Employment/Licensure", then select "Continue with this Reason", enter the Reference ID number (i.e. A000######) found on your DPS receipt and complete all subsections under the "Data Collection" tab.
E. Submit payment[2] and retain your appointment confirmation.

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. Applicants unable to utilize Fieldprint may request instructions on submitting a physical fingerprint card by contacting sec-aod@azcc.gov.

[1] There is a $22.00 fee for the state and FBI criminal history check, and a $0.44 credit card processing fee charged by DPS

[2] There is a $8.25 Fieldprint appointment fee for Arizona Residents & $10.25 for nonresidents

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 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.