



FINGERPRINTING INFORMATION AND INSTRUCTIONS

ALL QUESTIONS REGARDING THIS FORM SHALL BE
DIRECTED TO THE
HAWAII DIVISION OF FINANCIAL INSTITUTIONS

STATE OF HAWAII
DIVISION OF FINANCIAL INSTITUTIONS
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CONSUMER AFFAIRS
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GENERAL INFORMATION ON FINGERPRINTING

Fingerprinting for the regulatory programs administered by the Division of Financial Institutions (“DFI”) vary by the type of license or charter being sought. DFI provides two ways of getting fingerprinted:

- Fieldprint, Inc. (“Fieldprint”), the fastest, most convenient way to have your fingerprints captured electronically with livescan locations in all 50 states, the District of Columbia and Puerto Rico. You can find a livescan location near you at: www.fieldprinthawaii.com.
- Submission of fingerprint cards. Have your fingerprints rolled by the Hawaii Criminal Justice Data Center (“HCJDC”) or a private agency.

➤ **Mortgage Loan Originators (“MLO”) and Mortgage Loan Originator Companies (“MLOC”)**

The fingerprinting function is incorporated into the application process which must be completed through the Nationwide Mortgage Licensing System (“NMLS”). For assistance with fingerprinting procedures contact the NMLS Call Center at (240) 386-4444.

- Applicants who have not previously had fingerprints captured by Fieldprint for NMLS are required to schedule an appointment with Fieldprint through NMLS.
- Applicants who already have fingerprints on file in NMLS that need a Hawaii background check are required to schedule an appointment with Fieldprint. See fingerprinting instructions below for Fieldprint.

➤ **Money Transmitters and Financial Institutions**

Fingerprinting can be done in two ways:

- At a Fieldprint livescan location. Fieldprint has livescan locations in all 50 states including the District of Columbia and Puerto Rico. You can find a livescan location near you at: www.fieldprinthawaii.com.
- Submission of fingerprint cards. See fingerprinting instructions below for fingerprint cards.

➤ **What DFI will do with the criminal history information**

Review of Criminal History Information – If there is no criminal history, DFI will start the application review process. If there is a criminal history, the matter will be reviewed by DFI pursuant to applicable Hawaii Revised Statutes, to determine whether there is a basis for a possible denial of the application. DFI will contact the applicant regarding any information needed to assess an individual’s eligibility as an officer, director, etc. with the applicant.

Denial of Application. – If DFI makes an initial determination that the application should be denied based on the criminal history of any of the proposed officers, directors, etc., DFI will follow the due process steps outlined in the applicable Hawaii Revised Statutes. The applicant will receive a denial letter, which advises the applicant of his/her right to appeal DFI's determination.

FINGERPRINTING METHODS

Fieldprint

This option may result in DFI receiving the results faster than submitting fingerprint cards and may also reduce the possibility of having to be re-fingerprinted if the fingerprints on a card cannot be read. Fees collected by Fieldprint include the costs of conducting the federal and state criminal background checks.

Note: MLOs and MLOCs must have fingerprints on file in NMLS to use Fieldprint for a Hawaii background check.

Schedule an appointment with Fieldprint at www://hawaii.fieldprint.com. **CAUTION:** Applicants for a money transmitter license or a financial institution charter or license should not schedule an appointment with Fieldprint until after the application for license or charter has been filed with DFI. Fingerprint results received prior to DFI's receipt of the application will be considered stale and individuals will need to have new scans taken.

- Sign-up and create a username and password.
- Select the reason you are being fingerprinted. Be sure to select correct type of license.
- Enter demographic information about yourself as required by the FBI. (Height, weight, etc.)
- Schedule an appointment, walk-ins are not accepted. Select the location, time and date.
- Pay Fieldprint using a major credit card.

On the day of your appointment:

- You will need to bring your appointment number and two valid forms of identification, at least one of which must be a valid government-issued photo ID. Acceptable secondary IDs include credit card, bank statement, electric bill, birth certificate, marriage certificate, or citizenship or naturalization certificate.
- Your fingerprints are collected electronically by a trained technician and securely transmitted.
- Your fingerprints are routed to HCJDC then routed to the FBI by HCJDC.

DFI will be provided a copy of the individual's criminal history background, if any, so that DFI can make a determination regarding the individual's qualification for licensure or qualification to serve as a director, officer, etc. of the applicant.

Fingerprint Cards

MLOs and MLOCs

Fingerprint cards cannot be used for licensing related to MLOs and MLOCs. Fingerprinting must be done through Fieldprint. For assistance with fingerprinting procedures contact the NMLS Call Center at (240) 386-4444.

Money Transmitters

If an organization other than HCJDC will “roll” the fingerprints, request a Fingerprint Card from DFI via email at dfi@dcca.hawaii.gov. Be sure to include the number of cards needed, that the request is in connection with an application for a money transmitter license, the name of the company that will be applying for a money transmitter license, and a mailing address.

Locate a qualified private agency¹ or company that can “roll” the fingerprints on the Fingerprint Card provided by DFI. Fingerprinting service fee will vary depending on the agency. (Consult the Yellow Pages to find an agency, or contact a local law enforcement agency.)

To have your fingerprints “rolled” by HCJDC, schedule an appointment by calling (808) 587-3279, walk-ins are not accepted. A Fingerprint Card is not required, HCJDC captures fingerprints electronically. HCJDC charges a fingerprinting service fee of \$25, in addition to the fees to conduct the criminal background checks.)

Financial Institutions

Fingerprint Cards for financial institutions are not provided by DFI. You will need to check with your organization or a qualified private agency or company on how to obtain a blank Fingerprint Card.

Locate a qualified private agency¹ or company that can “roll” the fingerprints on the Fingerprint Card you provided. Fingerprinting service fee will vary depending on the agency. (Consult the Yellow Pages to find a company or contact a local law enforcement agency.)

To have your fingerprints “rolled” by HCJDC, schedule an appointment by calling (808) 587-3279. A Fingerprint Card is not required, HCJDC captures fingerprints electronically. HCJDC charges a fingerprinting service fee of \$25, in addition to the fees to conduct the criminal background checks.)

What You Need to Know When Using Fingerprint Cards

A. Get Fingerprinted

1. You will need to:
 - a. Show at least one form of government-issued picture identification;
 - b. Sign the Fingerprint Card in the presence of the official “rolling” your fingerprints;
 - c. Pay the fingerprinting entity fee for “rolling” your fingerprints; and

¹ If you are going to be fingerprinted somewhere other than HCJDC, you are responsible for finding a qualified agency or company that can “roll” the fingerprints on the Fingerprint Card DFI supplies. You must request that this third party agency or service seal the Fingerprint Card with the “rolled” prints in the DFI self-addressed envelope to be returned directly to DFI.

- d. Have the official “rolling” your fingerprints date and sign the Fingerprint Card in the designated space.
2. Prints must be taken by an official qualified to “roll” fingerprints. The fingerprints must be legible; if smudged or blurred, prints will be rejected by the HCJDC and the FBI, and you will be required to submit a new set of prints, which may delay the processing of the application; and additional fees may be incurred.
3. If you are missing a finger or have a skin irritation or deformity of the hands and/or fingers which prevents the taking of clear fingerprints, submit a statement explaining the situation from the official “rolling” the fingerprints (in the case of missing fingers or a deformity) or from a doctor (in the case of a skin irritation). The statement must be included with your Fingerprint Card at the time it is submitted to DFI.

B. Processing the Criminal History Record Check

1. **Fingerprints to be “Rolled” by HCJDC.** **CAUTION:** Applicants for a money transmitter license or a financial institution charter or license should not schedule an appointment with HCJDC until after the application for license or charter has been filed with DFI. Fingerprint results received prior to DFI’s receipt of the application will be considered stale and individuals will need to have new prints taken.
 - a. Applicant downloads the following documents from the DFI website:
<http://www.hawaii.gov/dcca/dfi>
 - (i) DFI Fingerprinting Information and Instructions, [DFI Form FP (rev. 07-2012)]; and
 - (ii) DFI Authorization & Consent Form [DFI Form ACF (rev. 07-2012)].
 - b. Applicant mails/delivers a **copy** of each of the DFI Authorization & Consent Forms [DFI Form ACF (rev. 07-2012)], showing each individual’s completed sections to:

Division of Financial Institutions
Department of Commerce & Consumer Affairs
Post Office Box 2054
Honolulu, Hawaii 96805
 - c. Applicant takes the following ORIGINAL completed documents DIRECTLY to the HCJDC
 - (i) DFI Authorization & Consent Form [DFI Form ACF (rev. 07-2012)]; and
 - (ii) Proper fingerprint fee in the form of Money Order or Cashier’s Check ² made payable to the State of Hawaii of \$71.50 (\$25.00 fee for taking the fingerprints and \$46.50 fee for conducting the state and federal criminal background checks).
2. **Fingerprints “Rolled” by Organization Other Than HCJDC**
 - a. Applicant downloads the following documents from the DFI website:
<http://www.hawaii.gov/dcca/dfi>
 - (i) DFI Fingerprinting Information and Instructions, [DFI Form FP (rev. 07-2012)]; and
 - (ii) DFI Authorization & Consent Form [DFI Form ACF (rev. 07-2012)]

² One money order/cashier’s check may be submitted for two or more fingerprint cards submitted at the same time. **Cash and personal checks will not be accepted.**

- b. Applicant mails/delivers a **copy** of each of the DFI Authorization & Consent Forms [DFI Form ACF (rev. 07-2012)], showing each individual's completed sections to:
- Division of Financial Institutions
Department of Commerce & Consumer Affairs
Post Office Box 2054
Honolulu, Hawaii 96805
- c. Individual to be fingerprinted takes the following ORIGINAL completed documents DIRECTLY to the organization that will do the fingerprinting:
- (i) Fingerprint Card (one card per individual) with the required information on the card or on a separate paper (See Fingerprint Card Instructions below);
 - (ii) DFI Authorization & Consent Form [DFI Form ACF (rev. 07-2012)]; and
 - (iii) Proper fingerprint fee in the form of Money Order or Cashier's Check ³ made payable to the State of Hawaii of \$51.50 (\$5.00 fee for scanning the fingerprint card into an electronic format and \$46.50 fee for conducting the state and federal criminal background checks).
- d. Individual has his/her fingerprints "rolled" in accordance with the procedures described and pays the agency or company its fee for rolling the fingerprints.
- e. The official performing the fingerprint "rolling" must be the one to enclose and seal the completed Fingerprint Card, the DFI Authorization & Consent Form, the money order or cashier's check made payable to the State of Hawaii, as well as any documentation outlining any missing fingers, deformity of the and/or fingers or skin irritation, in the envelope provided by DFI to:
- Division of Financial Institutions
Department of Commerce & Consumer Affairs
Post Office Box 2054
Honolulu, Hawaii 96805
- f. DFI will forward the properly completed Fingerprint Card to the HCJDC, the fingerprint fee in the form of Money Order or Cashier's Check, and the individual's signed Authorization & Consent Form to the HCJDC to do the criminal history record processing.

3. Conducting the Criminal History Record Check

- a. The criminal history record check will be processed by HCJDC by checking the State of Hawaii's criminal records database, and HCJDC will also electronically send a scan of the Fingerprint Card to the FBI for a criminal record check of the FBI's database.
- b. HCJDC and the FBI will provide DFI with a copy of the individual's criminal history background, if any, so that DFI can make a determination regarding the individual's qualification for licensure or qualification to serve as a director, officer, etc. of the applicant.

³ One money order/cashier's check may be submitted for two or more fingerprint cards submitted at the same time. **Cash and personal checks will not be accepted.**

- C. Rejection of Fingerprint Card. There are several reasons why a fingerprint card may be rejected prior to the completion of the fingerprint process. HCJDC and/or the FBI may reject the fingerprint card because there was a problem with the quality of the fingerprints (e.g., fingerprints were smudged, blurred, too light or too dark to be read). If a fingerprint card is rejected, DFI will notify the applicant of the rejection and the applicant will be required to re-submit the fingerprint card for re-processing; additional fees may be incurred.

FINGERPRINT CARD INSTRUCTIONS

Please read these instructions carefully before you begin the fingerprinting process.

Complete the Top Portion of the Fingerprint Card (complete only the sections noted directly on the card or on a separate sheet of paper and clip it to the Fingerprint Card).

- **Do not use a highlighter on the Fingerprint Card.** The FBI's scanners cannot record the information if the card contains highlighter.
- **Do not overlap the borders of the block in which you enter information.** The scanners cannot read information that overlaps the block.
- **Do not use white-out on the Fingerprint Card.** If information on the card needs to be changed, you may use a white address label affixed within the blue borders of the block.
- **Do not overlap any information into the actual fingerprint area.**
- **Do not alter any pre-printed information on the Fingerprint Card.**

FAILURE TO ADHERE TO THESE GUIDELINES MAY RESULT IN THE FINGERPRINT CARD BEING RETURNED AND A NEW FINGERPRINT CARD REQUIRED TO BE SUBMITTED; ADDITIONAL FEES MAY BE INCURRED.

SAMPLE FINGERPRINT CARD

(The information must be typed or printed legibly.)

IN BLACK INK, fill out the top of the Fingerprint Card as completely as possible, in accordance with the sample shown. Compare your Fingerprint Card to the sample very carefully. The Fingerprint Card cannot be properly indexed by the Department of Justice or the FBI without this information; therefore, an incomplete Fingerprint Card will be returned to the applicant. **If your Fingerprint Card is missing any required information or has stray marks, your Fingerprint Card will be rejected**, resulting in a significant delay in processing your application. (See the sample below. The numbers correspond to the numbered information shown on the following two pages.)

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK				FBI		LEAVE BLANK	
SIGNATURE OF PERSON FINGERPRINTED (2)		(1) LAST NAME <u>NAM</u>		FIRST NAME		MIDDLE NAME					
RESIDENCE OF PERSON FINGERPRINTED (5)		(3) ALIASES <u>AKA</u>		O R I HI920261Z DEPT COMM CONS AFF HONOLULU, HI		DATE OF BIRTH <u>DOB</u>					
DATE		(6) CITIZENSHIP <u>CTZ</u>				SEX (7)		RACE (8)		HGT (9)	
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		YOUR NO. <u>OCA</u>				EYES (11)		HAIR (12)		PLACE OF BIRTH <u>POB</u> (13)	
EMPLOYER AND ADDRESS (14)		FBI NO. <u>FBI</u>								LEAVE BLANK	
REASON FINGERPRINTED (15)		ARMED FORCES NO. <u>MNU</u>								CLASS _____	
		SOCIAL SECURITY NO. <u>SOC</u>								REF. _____	
		MISCELLANEOUS NO. <u>MNU</u>									
1 R THUMB		2 R INDEX		3 R MIDDLE		4 R RING		5 R LITTLE			
6 L THUMB		7 L INDEX		8 L MIDDLE		9 L RING		10 L LITTLE			
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY +				L THUMB		R THUMB		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY +			

The following information must be completed on the Fingerprint Card or on a separate sheet of paper in order for a Fingerprint Card to be processed:

(The numbers correspond to the numbers shown on the SAMPLE of the Fingerprint Card.)

- (1) Name: Print or type the Last Name, First Name and Middle Name of the person being fingerprinted. Suffix denoting seniority (e.g., Jr., Sr., III) should follow the middle or first name.
- (2) Signature of Person Fingerprinted: The person being fingerprinted must sign his/her legal name in this block in ink. The card should be signed **prior** to rolling the fingerprints to prevent smearing. However, the card **must be signed in the presence** of the official taking the fingerprints.
- (3) Aliases (AKA): List any alias names or nicknames used in the past (e.g. Dutch, Tex, Bunny). Female applicants using a married name should enter their maiden name and any other married names in the block.
- (4) Date of Birth (DOB): Date of birth must be entered numerically - month, day, year, e.g., May 11, 1948 = 05111948; October 15, 1960 = 10151960. If birth date is unknown, then enter the age of the applicant or the year of birth.
- (5) Residence of Person Fingerprinted: List current residence - street address, city and state.
- (6) Citizenship (CTZ): Enter the country of which the person being fingerprinted is a citizen.
- (7) Sex: Use M for Male and F for Female.
- (8) Race: Use the following letters (one only):
 - A = Asian
 - B = Black
 - I = American Indian or Alaskan Native
 - W = White
- (9) HGT (Height): Enter height in feet and inches using only numbers, rounding fractions of an inch to the nearest inch, and preceding inches less than ten with a zero, e.g., 5'7" = 507 and 6' even = 600.
- (10) WGT (Weight): Enter weight in pounds using only numbers and rounding fractions of a pound to the nearest pound, e.g. 180 lbs. = 180.
- (11) Eyes: Enter eye color using the following abbreviations (one only):
 - BLK = Black
 - BLU = Blue
 - BRO = Brown
 - GRY = Gray
 - GRN = Green
 - HAZ = Hazel
- (12) Hair: Enter hair color using one of the following abbreviations:

BAL = Bald (if person being fingerprinted has lost most of his/her hair or is hairless)
BLK = Black
BLN = Blonde (or Strawberry)
BRO = Brown
GRY = Gray (or partially gray)
RED = Red (or Auburn)
SDY = Sandy
WHI= White

(13) Place of Birth (POB): Enter the state, territorial possession, province (Canadian), or country of birth. If possible, enter the city and state (use zip code abbreviation) where person being fingerprinted was born.

(14) Employer and Address: Name and complete address of employer.

(15) Reason Fingerprinted: Application to DFI.

(16) Social Security No. (SOC): Enter Social Security Number.