



## Form U10

### Instructions for Completion and Submission by Check or Money Order

We now offer online submission of the Form U10. This new option provides a more convenient credit card payment option. Click [here](#) to utilize online processing of the [Form U10](#). Please note, new users will need to click the “Register Now” hyperlink located in the upper right hand side of the login screen to receive a User Name and Password. *Form U10 applications submitted with check or money order payment, please follow the directions below.*

1. Complete Items 1-4 in full. Identify the examination(s) being requested under Item 4. Failure to complete all items will cause the application to be returned unprocessed.
2. Attach a single check or money order made payable to FINRA for the total amount of examination fees due. Print the candidate’s and firm’s name on the face of the check. **NOTE:** Examination fees are NON-REFUNDABLE.
3. Send the fully completed Form U10 together with your check or money order for the total examination fees due to:  
**FINRA - Field Support**  
**P.O. Box 5054**  
**Philadelphia, PA 19175-5054.**  
  
For overnight deliveries, please send to:  
**FINRA - Field Support**  
**W5054**  
**701 Market Street 199-3490**  
**Philadelphia, PA 19106-1532**
4. Form U10 will not be processed until the necessary authorization is provided directly to FINRA by the appropriate regulatory authority. If the required authorization is not received from the appropriate regulatory authority within thirty (30) days of the date of receipt, the Form U10 will be returned unprocessed.
5. Once the U10 registration has been approved and processed, a Notice of Enrollment will be emailed to both the firm contact named in Item 1 and the candidate listed in Item 2.
6. Candidates must make the necessary appointment and take the examination before the expiration date as shown on the Notice of Enrollment or the enrollment expires and the fee is forfeited. Enrollments are valid for 120 calendar days only. Fees and enrollments are not refundable and cannot be transferred to either another individual or an examination for the same individual. If the candidate late cancels (see below) or does not appear for their scheduled appointment, the examination fee is forfeited and a new Form U10 must be submitted.
7. Persons without valid enrollments will not be permitted to schedule or take an examination. To re-enroll for a failed examination, forfeited enrollment, or an expired enrollment, resubmit the Form U10 with the appropriate examination fee(s).

8. FINRA assumes no responsibility for providing copies of official results to regulatory authorities other than the sponsoring SRO.

### **Scheduling/Examination Administration Information**

Examination and training sessions are provided at authorized FINRA testing centers throughout the United States. Complete information concerning examination administration, test center locations and admittance requirements are located at [www.FINRA.org](http://www.FINRA.org).

Appointments can be scheduled through either Pearson VUE or Prometric:

- Pearson Professional Centers: contact Pearson VUE’s National Registration Center at **1-866-396-6273 (toll free), or 1-952-681-3873 (toll number)** or go to [www.pearsonvue.com/finra](http://www.pearsonvue.com/finra) for Web-based scheduling.
- Prometric Testing Centers: contact Prometric’s National Call Center at **1-800-578-6273 (toll free)** or go to [www.prometric.com/finra](http://www.prometric.com/finra) for Web-based scheduling.

If, for any reason, a candidate cannot make a scheduled appointment, the appointment must be cancelled. Responsibility rests with the candidate or firm to make and/or cancel appointments in a timely manner. The examination enrollment and fee will be forfeited if an appointment is not cancelled in accordance with the required notification criteria, the candidate fails to appear for an appointment or arrives at the test center so late that his/her session cannot begin without disrupting the center schedule for that date. If a holiday occurs during the normal cancellation period, this schedule adjusts to define “timely cancellation” as one day earlier than stated below. Cancellation will be considered timely if effected according to the following schedule:

<b>If appointment is scheduled for:</b>	<b>Cancellation must be effected no later than noon on:</b>
Monday	Thursday of the preceding week
Tuesday	Friday of the preceding week
Wednesday	Monday of the same week
Thursday	Tuesday of the same week
Friday/Saturday/Sunday	Wednesday of the same week

### **Eligibility of Candidates**

Form U10, the Uniform Examination Request for non-FINRA candidates, is designed for use by individuals not employed or associated with FINRA member firms who, as part of a registration process, have been specifically required by another regulatory authority to qualify by examination. (Persons seeking FINRA registration must be employed by or associated with an FINRA member firm. All examination scheduling for persons associated with FINRA member firms or firms applying for FINRA membership must be made by the firm on a Form U4.)

Responsibility rests with the candidates and their firms to: 1) ascertain directly from the appropriate regulatory authority specific advice as to which qualifying examination is required; 2) provide the necessary registration application to that agency in accordance with their requirements; and 3) determine what that regulator requires of them before the agency will provide FINRA with the necessary authorization to proceed with Form U10 processing and test scheduling.

FINRA assumes no responsibility for contacting another regulatory agency with respect to provision of the required authorization or the candidate’s choice of examination.

# Form U10

## Uniform Examination Request for Non-FINRA Candidates

### 1. Candidate Information

Legal Name \_\_\_\_\_  
Social Security Number\* \_\_\_\_\_  
Street Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
Email Address \_\_\_\_\_

**\*Individuals who do not have an SSN please enter the number “zero”, and FINRA will assign you a unique ID number. It will be included in your confirmation email.**

Firm Name \_\_\_\_\_  
Firm Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
Contact Name \_\_\_\_\_ Telephone Number \_\_\_\_\_  
Email Address \_\_\_\_\_

### 2. Regulator

Identify the state, self-regulatory, or bank regulatory agency with which the firm is registered and is requiring the qualification/registration of the candidate:

- American Stock Exchange
- Chicago Board Options Exchange
- Comptroller of the Currency
- Federal Deposit Insurance Corporation
- Federal Reserve Board
- Chicago Stock Exchange
- National Futures Association
- New York Stock Exchange
- Archipelago Exchange (formerly the Pacific Stock Exchange)
- Philadelphia Stock Exchange
- State of (identify the State and the regulatory agency)
- OTHER (indicate the full name of the regulatory authority)

### 4. Examinations

Check the appropriate box(es) for each examination to request registration. The applicable examination fee follows each test.

A. The following examination requests will be approved and administered by FINRA only when the required authorization is received directly from the respective State Administrator or self-regulatory organization identified under Item 3. These examinations are available only to individuals who have made application for registration with a state regulator or SRO and are specifically required by the regulator to qualify by one of these examinations.

- |   |       |
|---|-------|
| <input type="checkbox"/> Series 4 Registered Options Principal                                      | \$ 90 |
| <input type="checkbox"/> Series 5 Interest Rate Options   | \$ 65 |
| <input type="checkbox"/> Series 6 Investment Company and Variable Contracts Products Representative | \$ 85 |
| <input type="checkbox"/> Series 7 General Securities Representative                                 | \$265 |
| <input type="checkbox"/> Series 9 General Securities Sales Supervisor-Options Module                | \$ 70 |

<input type="checkbox"/> Series 10 General Securities Sales Supervisor-General Module	\$110
<input type="checkbox"/> Series 11 Assistant Representative-Order Processing	\$ 70
<input type="checkbox"/> Series 22 Direct Participation Programs Representative	\$ 85
<input type="checkbox"/> Series 23 General Securities Principal Qualification Exam Sales Supervisor Module	\$ 85
<input type="checkbox"/> Series 24 General Securities Principal	\$105
<input type="checkbox"/> Series 26 Investment Company and Variable Contracts Products Principal	\$ 85
<input type="checkbox"/> Series 27 Financial and Operations Principal	\$105
<input type="checkbox"/> Series 28 Introducing Broker/Dealer Financial and Operations Principal	\$ 85
<input type="checkbox"/> Series 39 Direct Participation Programs Principal	\$ 80
<input type="checkbox"/> Series 42 Registered Options Representative	\$ 65
<input type="checkbox"/> Series 55 Limited Representative Equity Trader	\$ 95
<input type="checkbox"/> Series 62 Corporate Securities Representative	\$ 80
<input type="checkbox"/> Series 72 Government Securities Representative	\$ 95
<input type="checkbox"/> Series 79 Limited Representative-Investment Banking	\$265
<input type="checkbox"/> Series 86 Research Analyst Part I – Analysis Module	\$160
<input type="checkbox"/> Series 87 Research Analyst Part II – Regulatory Module	\$115

B. The following examination requests will be approved only for individuals associated with municipal securities dealers registered with the bank regulatory agency identified under Item 3.

<input type="checkbox"/> Series 51 Municipal Fund Securities Principal	\$145
<input type="checkbox"/> Series 52 Municipal Securities Representative	\$155
<input type="checkbox"/> Series 53 Municipal Securities Principal	\$155

C. The following examinations do not require authorization from a State Administrator or self-regulatory organization.

<input type="checkbox"/> Series 3 National Commodities Futures	\$105
<input type="checkbox"/> Series 30 Branch Managers Examination-Futures	\$ 70
<input type="checkbox"/> Series 31 Futures Managed Funds Examination	\$ 70
<input type="checkbox"/> Series 32 Limited Futures Examination-Regulation	\$ 70
<input type="checkbox"/> Series 34 Retail Off-Exchange Forex Examination	\$ 70
<input type="checkbox"/> Series 63 Uniform Securities Agent State Law Examination	\$ 96
<input type="checkbox"/> Series 65 Uniform Investment Advisor Law Examination	\$135
<input type="checkbox"/> Series 66 Uniform Combined State Law Examination	\$128

D. The following Continuing Education computer based training programs will be approved and administered by FINRA only when the required authorization is received directly from the respective State Administrator or self-regulatory organization identified under Item 3.

<input type="checkbox"/> Continuing Education Regulatory Element General Program (S101)	\$100
<input type="checkbox"/> Continuing Education Regulatory Element Series 6 Program (S106)	\$100
<input type="checkbox"/> Continuing Education Regulatory Element Supervisor Program (S201)	\$100

E. The following examination requests will be approved only for individuals associated with the appropriate SRO identified under item 3.

<input type="checkbox"/> Series 91	\$125
<input type="checkbox"/> Series 92	\$125