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.

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 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 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:

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

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  ___________________________________

2. Firm Information
Firm Name __________________________________________
Firm Address __________________________________________
City _______________________State ______________Zip________________
Contact Name ______________________________Telephone Number ____________________
Email Address  _____________________________________

3. 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.

- Series 4 Registered Options Principal $ 90
- Series 5 Interest Rate Options $ 65
- Series 6 Investment Company and Variable Contracts Products Representative $ 85
- Series 7 General Securities Representative $265
- Series 9 General Securities Sales Supervisor-Options Module $ 70
- Series 10 General Securities Sales Supervisor-General Module $110
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.

- Series 51 Municipal Fund Securities Principal $145
- Series 52 Municipal Securities Representative $155
- Series 53 Municipal Securities Principal $155

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

- Series 3 National Commodities Futures $105
- Series 30 Branch Managers Examination-Futures $70
- Series 31 Futures Managed Funds Examination $70
- Series 32 Limited Futures Examination-Regulation $70
- Series 34 Retail Off-Exchange Forex Examination $70
- Series 63 Uniform Securities Agent State Law Examination $96
- Series 65 Uniform Investment Advisor Law Examination $135
- 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.

- Continuing Education Regulatory Element General Program (S101) $100
- Continuing Education Regulatory Element Series 6 Program (S106) $100
- 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.

- Series 91 $125
- Series 92 $125