



Form U10 Instructions

Instructions for Completion and Submission

The Form U10 is only available for online submission. This online process provides convenient credit card and electronic (ACH) payment options. **International credit card payments are now accepted. This is an option in lieu of sending a wire transfer.**

[Submit Form U10 Online](#)

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.

1. Complete the required fields of the Candidate Personal Information section in full. Candidates without a Social Security Number (SSN) will be required to provide Mother's Maiden Name. **Note: If you have a SSN and do not provide it, FINRA will not post your score to WebCRD for usage and you may be required to re-qualify by examination.**
2. By completing the Firm Information section, the firm contact specified will receive a copy of the Notice of Enrollment email.
3. If requesting an examination in Section 4A, FINRA will require sponsorship approval by the Regulatory Agency specified in Section 3. A 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 disregarded unprocessed. FINRA assumes no responsibility for providing copies of official results to regulatory authorities other than the sponsoring SRO.
4. Be sure to complete the application by submitting the payment for the examination. If payment is not submitted within 24 hours of initiating the form, it will be discarded.
Note: Examination fees are Non-Refundable and Non-Transferable to either another individual or another examination for the same individual.
5. Once the Form U10 and payment have been successfully submitted, a confirmation email will be sent to the candidate.
6. After the submitted form has been approved, a Notice of Enrollment will be emailed to both the candidate and the firm contact, if specified. Each candidate will be assigned a unique FINRA ID number, which will be included in the Notice of Enrollment email. This FINRA ID number will need to be used to schedule a testing appointment. For candidate security, SSNs are not used for scheduling.
7. 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. 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.
8. 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).

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 a 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.

Scheduling/Examination Administration Information

Individuals who reschedule or cancel a FINRA qualification examination or Regulatory Element Continuing Education (Regulatory Element) session three to 10 business days prior to their scheduled appointment will be subject to a new cancellation and reschedule policy. For complete details, please review the [Cancellation Policy](#).

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.

Examination and Continuing Education sessions are provided at authorized FINRA testing centers both domestically and internationally. Find complete information concerning [examination administration](#), [test center locations](#) and [admittance requirements](#).

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 [Web-based scheduling](#).
- Prometric Testing Centers: contact Prometric's National Call Center at **1-800-578-6273 (toll free)**, or go to for [Web-based scheduling](#).

Cancellation Policy

To avoid cancellation or reschedule fees, candidates seeking to alter their scheduled appointment must do so a minimum of 10 business days in advance. Appointments cancelled or rescheduled within 10 business days will result in the assessment of one of the following fees:

Three – 10 Business Day Cancellation/Reschedule Fee: Individuals who cancel or reschedule an appointment within three – 10 business days of a scheduled appointment will be assessed a cancellation/reschedule fee as outlined in the Three – 10 Business Day Cancellation/Reschedule Fee Table. At the time of rescheduling, these fees will be collected by the testing vendor with whom the candidate has scheduled the appointment.

Late Cancellation/Reschedule Fee (Within Two Business Days of Appointment): Non-member candidates who wish to cancel or reschedule an appointment within two business days, or who fail to show up for a scheduled exam or session, are required to open a new enrollment window (and pay the associated exam or session fee) prior to scheduling a new appointment.

The cancellation or reschedule will be considered timely if effected according to the following schedule:

Appointment is scheduled for:	To avoid late cancellation/reschedule fee (within two business days of appointment), appointment must be cancelled or rescheduled by midnight, Eastern Time, on:	To avoid three – 10 business day cancel/reschedule fee, appointment must be cancelled or rescheduled by midnight, ET, on:
Sunday, Monday	Wednesday of the preceding week	Sunday two weeks before
Tuesday	Thursday of the preceding week	Monday two weeks before
Wednesday	Sunday of the same week	Tuesday two weeks before

Thursday	Monday of the same week	Wednesday two weeks before
Friday	Tuesday of the same week	Thursday two weeks before
Saturday	Wednesday of the same week	Friday two weeks before

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