



FINRA Data Processing Consent

As part of the requirements that enable you to be employed in certain positions in the financial services industry in the United States, (Test Delivery Vendor) (acting on behalf of the program administrator, FINRA) collects certain personal data from you for identity verification, scoring, fraud-prevention, security and other administrative purposes, which can include your name, signature, video recording, photographic image and review of identification. This information is collected on-site at (Test Delivery Vendor) facility at which you are completing your examination, program or other requirement (hereinafter, "session"). (Test Delivery Vendor) also utilizes audio and video surveillance methods to detect Rules of Conduct violations. FINRA and/or (Test Delivery Vendor) (acting on behalf of FINRA) may utilize this personal data for certification and in any investigation relating to fraud, cheating, theft or misconduct.

Your session results will be encrypted and transmitted to (Test Delivery Vendor) and FINRA, the session administrator. The test center does not retain any information other than when and where your session was taken.

Upon transfer to the United States, your personal data will be subject to U.S. laws, which may be different from, and afford less protection for personal data than your country's laws.

Withholding or withdrawal of your consent may result in your not being eligible for certifications, registrations or licensures that rely upon FINRA administered sessions. Your consent is voluntary and freely given, however, your failing to agree will prevent FINRA and (Test Delivery Vendor) (acting on behalf of FINRA) from processing and scoring session and result in your not being eligible for certification, registration or licensure. You have the right to withdraw this consent at any time without any given reasons by sending an e-mail to ipp@finra.org, or a letter to The Information Privacy and Protection Office, 9509 Key West Avenue, Rockville, MD 20850, with the same consequences.

Candidate Consent: *By providing my signature below, I give my explicit consent to the collection and processing of my personal data, as described above, including but not limited to, to retain and transmit my personal data and responses through (Test Delivery Vendor) to (Test Delivery Vendor) and to FINRA in the United States (or in the case of (Test Delivery Vendor), to the United States or another jurisdiction outside of the country in which I am completing my session).*

Signature

Printed Name

ID#

Date