

Information Notice

Testing and Continuing Education

Change to the Process for Scheduling Exam and Continuing Education Sessions

FINRA is making changes to the process for scheduling exams and continuing education (CE) sessions through FINRA's testing vendors— Pearson VUE and Prometric. To further safeguard the personal identifying information of our firms' exam and CE candidates, FINRA is phasing out the use of Social Security numbers (SSNs) to schedule exam and CE appointments.

Beginning May 3, 2010, individuals may use their SSNs, CRD or FINRA ID numbers to schedule an exam or CE appointment.

Effective September 15, 2010, individuals will be required to use either their CRD or FINRA ID numbers to schedule an exam or CE appointment with our testing vendors and SSNs will no longer be accepted. All non-FINRA candidates who enroll using the Form U10 will be assigned a FINRA ID number for scheduling purposes.

Lastly, effective September 23, 2010, the Form U10 will only be available for online submission; hardcopy forms mailed to FINRA will no longer be accepted. For added payment convenience, FINRA will expand its online Form U10 payment options to accept electronic (ACH) check payments in addition to the existing credit card options.

Questions about this *Notice* may be directed to the Gateway Call Center at (301) 869-6699.

April 20, 2010

Suggested Routing

- Compliance
- Continuing Education
- Registered Representatives
- Registration
- Training

Key Topics

- Qualifying Examinations
- Continuing Education
- Regulatory Element Program

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