Form U10

All fields marked with * are mandatory.

1. Candidate Personal Information

   First Name *
   Last Name *
   Do you have SSN? * ☐ Yes ☐ No
   Date of Birth (mm/dd/yyyy) *
   Phone *
   Email Address *
   Email Address (confirm) *
   Street Address Line 1 *
   Street Address Line 2 *
   City *
   State (if in U.S.) * Province/Region (if outside U.S.) Zip/Postal Code *
   Country *

2. Firm Information

   Firm Name
   Contact First Name
   Contact Last Name
   Phone
   Email Address
   Email Address (confirm)
   Street Address Line 1
   Street Address Line 2
   City
   State (if in U.S.) Province/Region Zip/Postal Code
   Country

3. Regulatory Agency

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

   - NYSE AMEX
   - 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
   - NYSE ARCA
   - NASDAQ OMXPHLX Inc.
   - Securities and Exchange Commission
   - MSRB (Municipal Securities Rulemaking Board)
     State Of (Identify the state and regulatory agency)
     Other (Indicate the full name of the regulatory authority)

   - None

4. NFA/MSRB Exams:

   The following NFA Exams have been moved to the Test Enrollment Services System (TESS).
The following MSRB Exams have been moved to the Test Enrollment Services System (TESS):

- Series 50 Municipal Advisor Representative Qualification Exam
- Series 51 Municipal Fund Securities Limited Principal
- Series 52 Municipal Securities Representative
- Series 53 Municipal Securities Principal

If you would like to request any of these NFA or MSRB exams, please visit the following link:

https://www.finra.org/enroll

5. FINRA Programs:

FINRA Exams have been moved to the Test Enrollment Services System (TESS). If you would like to request any FINRA Qualification Exam (Series 4, 6, 7, 9, 10, 11, 22, 23, 24, 25, 26, 27, 28, 39, 42, 51, 62, 66, 67) or CE session (S10, 106, 201, 901), please visit the following link:

https://www.finra.org/enroll

6. NASAA Examinations

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

The following examinations do not require authorization from a State Administration or State Industry organization.

- [ ] Series 63 Uniform Securities Agent State Law Examination $125
- [ ] Series 65 Uniform Investment Advisor Law Examination $165
- [ ] Series 66 Uniform Combined State Law Examination $155

7. Payment

Total charges for your exams are $0

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