

[Begin New Form](#) | [Return to Filing and Guidance Index](#)[Logout](#)**Form U10**

All fields marked with * are mandatory.

InformationReview the [Form Instructions](#) prior to completing the form.**1. Candidate Personal Information**

First Name * **Middle 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 *

United States

SAMPLE**2. Firm Information**

Firm Name **Broker Dealer Number**

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 (if outside U.S.)** **Zip/Postal Code**

Country

United States

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 OMX PHLX 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

SAMPLE**4. NFA/MSRB Exams:**

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

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- Series 3 National Commodities Futures Examination
- Series 30 NFA Branch Manager Examination
- Series 31 Futures Managed Funds Examination
- Series 32 Limited Futures Examination-Regulation
- Series 34 Retail Off-Exchange Forex Examination

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

- Series 50 Municipal Advisor Representative Qualification Examination
- 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, 26, 27, 28, 39, 42, 57, 62, 86, 87) or CE Session (S101, 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 Administrator (use only if you are a State Administrator or a State Authorized organization).

- | | | |
|--------------------------|--|-------|
| <input type="checkbox"/> | Series 63 Uniform Securities Agent State Law Examination | \$125 |
| <input type="checkbox"/> | Series 65 Uniform Investment Advisor Law Examination | \$165 |
| <input type="checkbox"/> | Series 66 Uniform Combined State Law Examination | \$155 |

7. Payment

Total charges for your exams are \$ 0

Continue

Review & Submit

Save