Becoming a Registered Representative

Benefits

Resources

Roadmap

NYLIFE Securities Licensing Benefits

What you can offer as a Registered Rep

By becoming a Registered Representative, you can offer a wide array of investment solutions through NYLIFE Securities LLC, member of FINRA/SIPC, a Licensed Insurance Agency and a New York Life Company, to your clients.

Mutual Funds

Brokerage Accounts

529 College Savings Plans

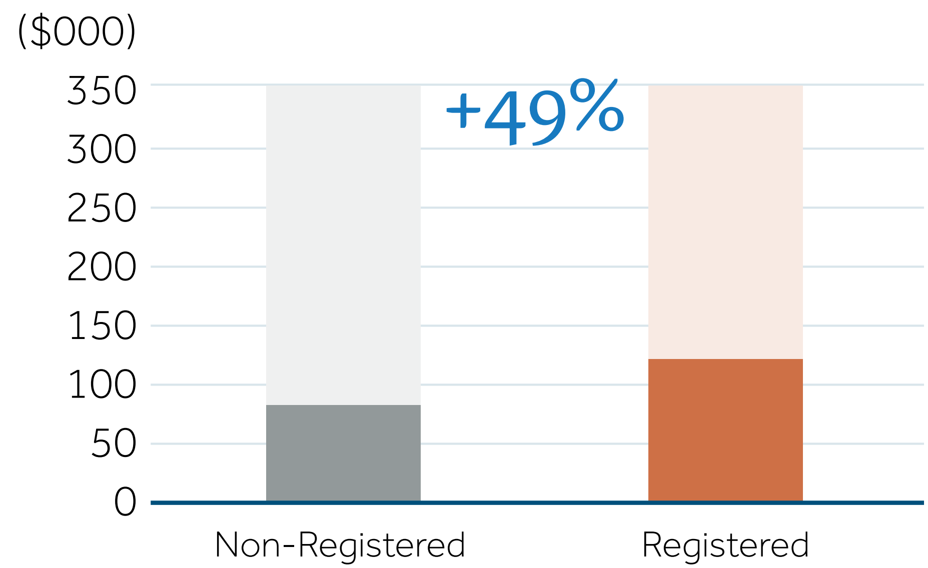
Retirement Plans

Variable Annuities

Variable Universal Life

Growing the skills that make you more valuable, referable… and productive

Average First Year Commissions per Council* Agent —Non Registered vs. Registered



*Council is an annual Company recognition program based on agent production levels from July 1st to June 30th.

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NYLIFE Securities Licensing Resources

New York Life partnered with Securities Training Corporation (STC) - one of the most well regarded pre-license training providers, to provide a wide array of best-in-class resources.

Free access to Licensing materials

Automatic Enrollment in materials/class

In-language resources*

Best-practice guides & sample exams

1:1 Instructor support

Exclusive virtual sessions

Exclusive Licensing Cohort programs

- **Prepares agents in 3-5 weeks** to take and pass licensing exams
- **Automatic enrollment** in monthly cohort program when you follow licensing roadmap
- **2-hour exam review with STC Instructor** at the end of each week
- **Contact your Field Service Professional** to sign up and get into the appropriate licensing Cohort program

NEW YORK LIFE

*All licensing exams are available in English only.

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NYLIFE Securities Licensing Roadmap

SIE (4–6 weeks*)

If you have an agent/candidate that is interested in becoming a registered representative with NYLIFE Securities, listed below are the necessary steps:

1. Get Permission from MP

- Agent/candidate must receive permission from MP before starting SIE process

2. Contact Field Service Professional

- Reach out to GO Field Service Professional to fill out SIE Reg Form

3. Access SIE Information/Materials

- Look out for email from offsite_training@newyorklife.com with voucher code and instructions on how to open SIE window and schedule exam
- Look out for email from customerservice@stcusa.com with instructions on how to access STC materials

4. Receive Class Invitations

- Look out for invitations from offsite_training@newyorklife.com with instructions on how to join SIE kick-off classes (Fri/2pm ET)
- Look out for outlook invite from offsite_training@newyorklife.com for details on how to join 5-week live instructor end of week review (meets 1X/ week on Fridays from 12-2pm) and Q&A session (Tuesdays at 4:15pm ET)

5. Open FINRA Window**

- Use provided voucher code to pay & open SIE Window
- For issues with enrolling for SIE, please call FINRA Support Team at: 240-386-4040

6. Schedule SIE Exam

- Use provided instructions to schedule exam at Prometric
- For technical issues with scheduling appointments, please contact Prometric at: 800-578-6273
- You will receive an outlook invite from offsite_training@newyorklife.com 2 weeks prior to your exam called SIE Readiness Assessment Session

7. Prepare and Take SIE Exam

Passing SIE exam is a requirement prior to taking S6 exam

Have an agent that wasn't successful?

- Agent repeats process but pays $80 for SIE exam (ledger deduct)
- SIE Retakers Session Click here

Series 6 (3–4 weeks*)

While Agent goes through U4/S6 process, make sure they don't stop studying. 45% overlap between SIE and S6 exam.

1. Receive Congratulations Email

- Email comes from offsite_training@newyorklife.com to inform of pending U4 filing – if applicable (MP/Partner and FSP are cc'd)
- Once pending items are closed, follow-up email informs of next steps in U4 process
- Look out for email sent to personal email from NewYorkLifeOnline@email.newyorklife.com

2. Go into Selection Portal Click here

- Complete requirements and press complete and save to submit the task

3. FINRA Window Opens**

- Once U4 is filed and FINRA approved, an email will be sent from agent_registration@newyorklife.com with instructions from FINRA on how to schedule S6 exam

4. Schedule S6 Exam

- Use provided instructions to schedule exam at Prometric

5. Attend or listen to S6 kick-off call Click here

6. Access S6 materials & sign-up for S6 Review session

- Agent has automatically been enrolled in S6 materials: Click on link below to log into STC Dashboard https://www.stcusa.com/

7. Prepare and Take S6 Exam

In order for Agent to move to S63, they need to pass S6 or S7 exam

Have an agent that wasn't successful?

- Agent repeats process but pays $75 for S6 exam (ledger deduct)
- S6 Retakers Session Click here

Series 63 (2–3 weeks*)

Inform your agents that although S63 is a shorter exam with different content, they will still need to follow same study process and should quickly pivot to S63 studies after they pass S6.

1. Receive Congratulations Email

- Email comes from offsite_training@newyorklife.com (MP/Partner and FSP are cc'd)

2. Respond to email to confirm opening S63 window

3. FINRA Window Opens**

- Once window is opened, you will receive an email from FINRA

4. Schedule S63 Exam

- Use provided instructions to schedule exam at Prometric

5. Attend or listen to S63 kick-off call Click here

6. Access S63 materials & sign-up for S63 Review Session

- Agent has automatically been enrolled in S63 materials: Click on link below to log into STC Dashboard **https://www.stcusa.com/**

7. Prepare and Take S63 Exam

Have an agent that wasn't successful?

- Agent repeats process but pays $147 for S63 exam (ledger deduct)
- S63 Retakers Session Click here

Additional Resources:

NYL Questions?: offsite_training@newyorklife.com
STC Customer Service: 1-800-STC-1223 (8am-7pm ET)
Instructor Hotline: 800-782-3926 (M-F 9am-5pm ET)
Securities Instructor Support Email: instructors@stcusa.com
Order STC Securities Materials (all exams except SIE exam)
STC Live Class Schedule
STC Resource Center
STC On-demand reports

*Recommended study time re: 15 hours of studying per week | **After window opens, agent has 120 days to take each exam
FINRA Retakers Rule: 30 days wait to retest After three attempts, wait 180 days | NYL only pays for the 1st attempt of each exam