

Licensing roadmap to becoming a RR: SIE, Series 6 (S6), & Series 63 (S63)

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 class (Fri/2pm ET) and 2 week SIE check-in (Wed/2pm ET)
- Look out for email from messenger@webex.com for details on how to join 4-week live instructor program (meets 2X/week from 12-2pm 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

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](#)

- Date, Sign and Upload 2 requested documents (15A Signature Page & U4 Ratification Form)

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

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

For Internal Use Only. Not for Use with the Public | SMRU 1940998 Exp. 05.25.2024

