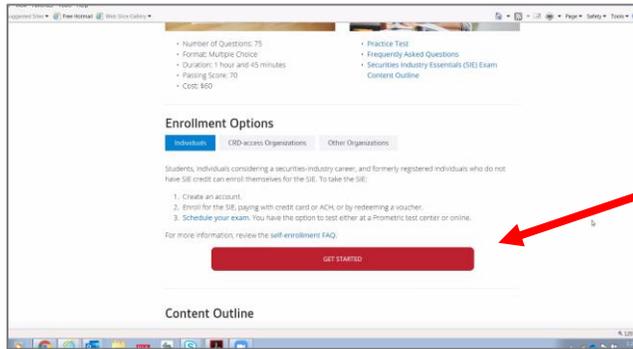


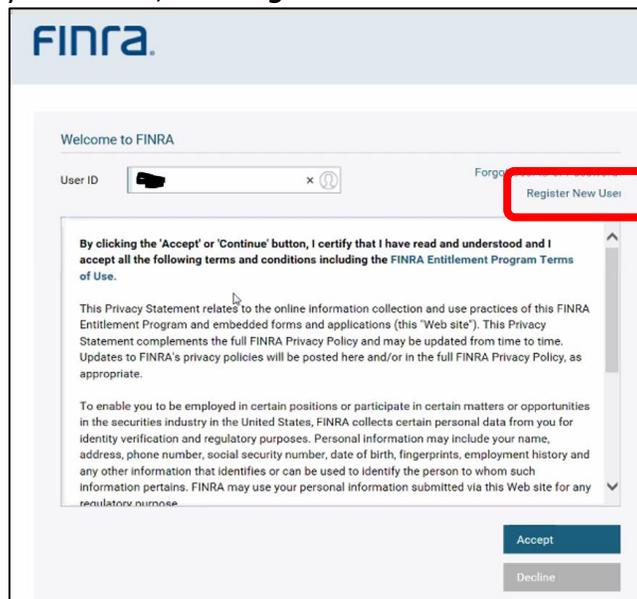
STEPS TO OPENING YOUR SIE WINDOW

Go to: <https://finra.org/enroll-for-sie>

- ✓ Scroll to the bottom of the page and click the red **“Get Started”** button to start the process



- ✓ The FINRA page appears on your screen, click **Register New User** located at the top of the screen on the right

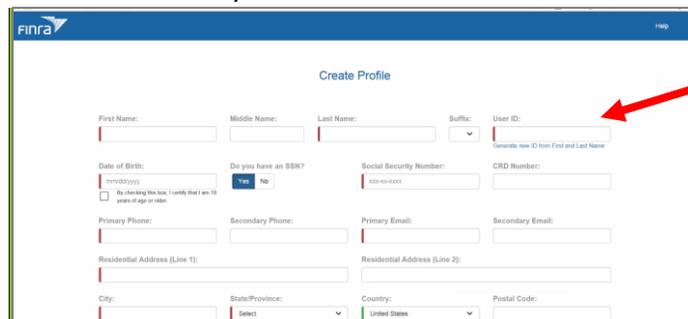


FINRA Privacy Statement window will appear

- ✓ Click Agree

Create Profile Window will appear - Fill in required information under Create Profile

- ✓ You will be prompted to create your own UserID – make sure to write this down (you will need in future steps)
 - Make sure to enter your **New York Life Email** in the Primary Email section.
 - Click **Create** once all of the necessary information is correct

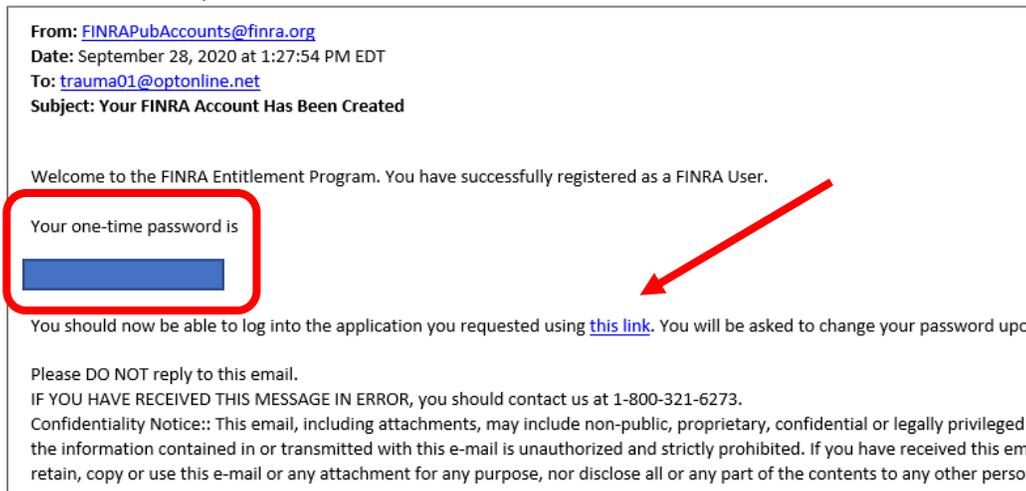


A Registration confirmation will appear on your screen



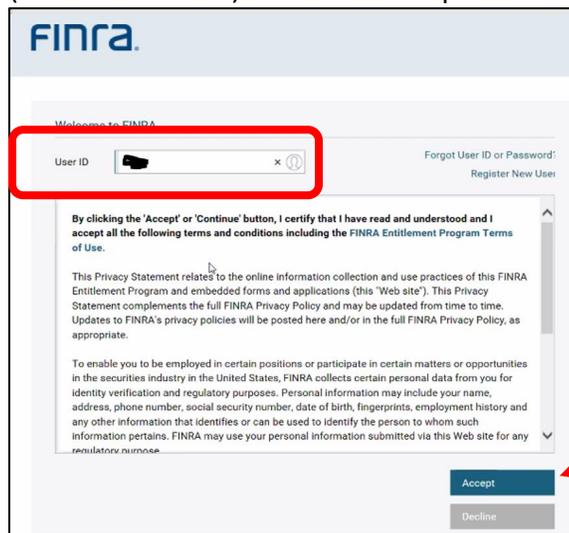
The following email will be sent by FINRAPubAccounts to your email address (sample email below)

- ✓ Make sure to note or copy your one-time password located in the body of the email
- ✓ Click on “This link” in the body of the email to Log in (Please make sure to login within 3 days of receipt or your account will be deleted)



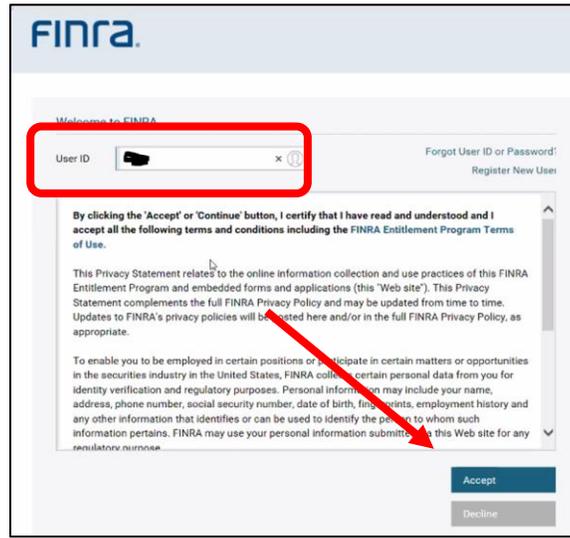
The FINRA page will appear on your screen

- ✓ Enter UserID that you created (and wrote down) and click “Accept”



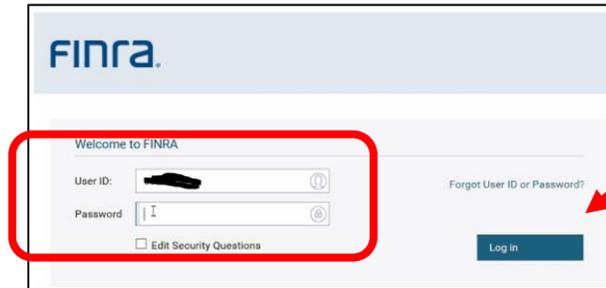
You will be directed to a FINRA Page

- ✓ Enter your User ID (that you created initially)
- ✓ Click Accept



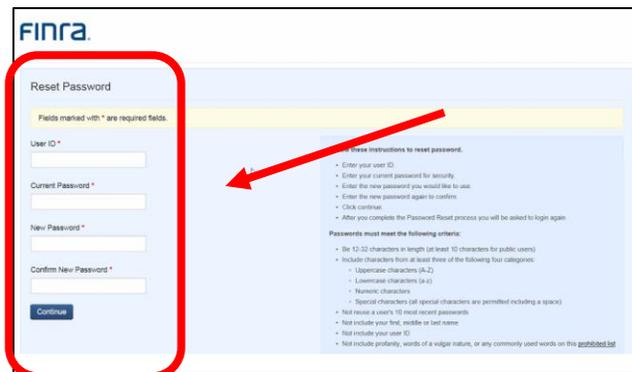
Sign in with your User ID and Temporary Password provided in the FINRA email (that you copied)

- ✓ Click Login



A Prompt to Reset your Password will appear

- ✓ Type in User ID
- ✓ Under Current Password, type in the *Temporary Password from your FINRA Email*
- ✓ Create a New Password (*make sure it follows the password requirement criteria located on the right side of the page*) Please be sure to make a note of this password for future use
- ✓ Click Continue to proceed



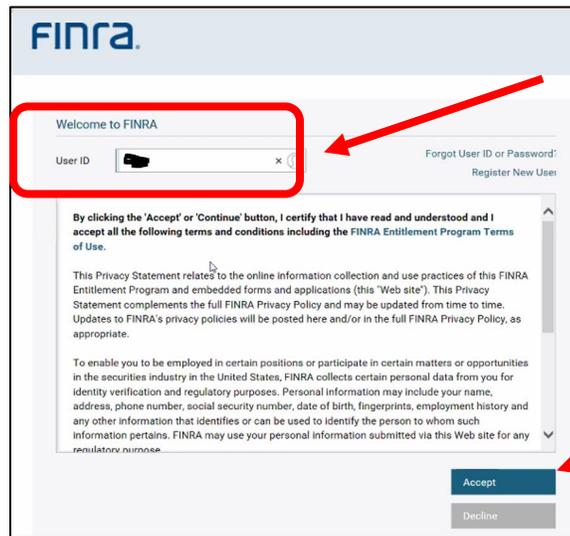
A notice that your password reset has been completed will appear

- ✓ Click Continue



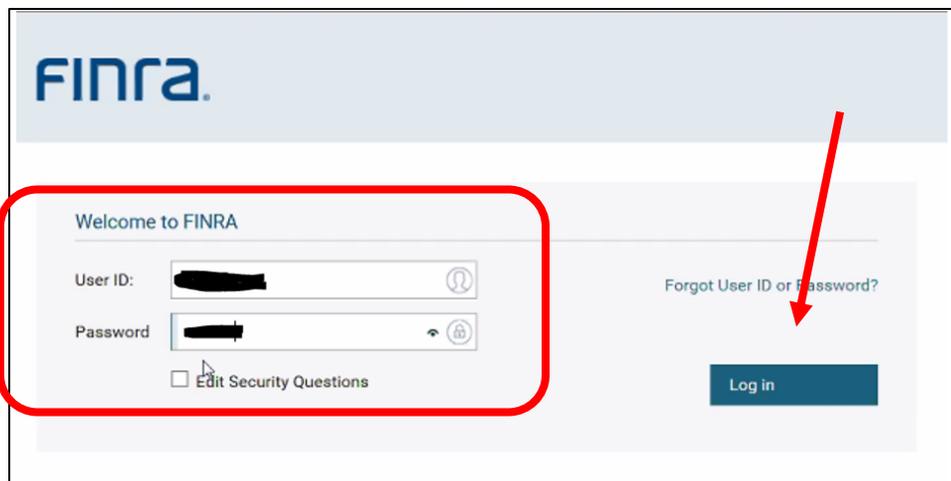
The FINRA main screen will appear again

- ✓ Type in User ID
- ✓ Click Accept



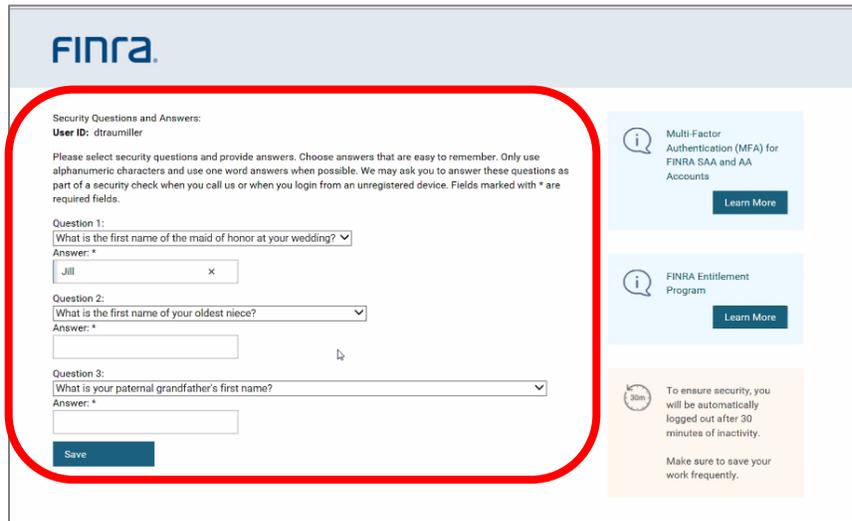
Welcome to FINRA window will appear

- ✓ Your User ID will be prefilled on the screen
- ✓ Type in New Password that you just created
- ✓ Click on Log in



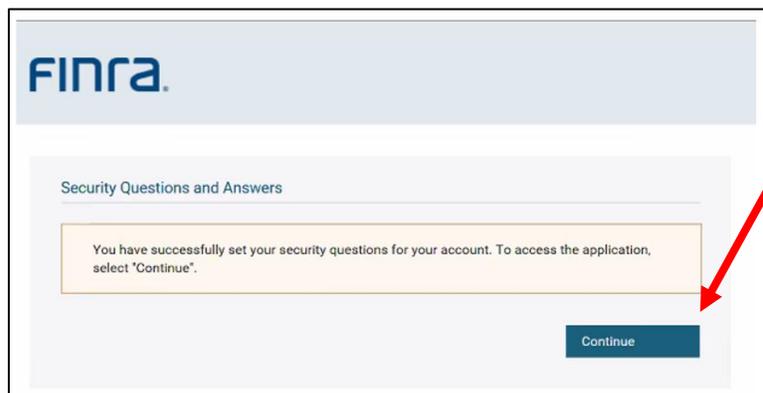
Security Questions and Answers will appear

- Select which question you would like and fill in answer for all 3 questions (change questions if desired)
- ✓ Click Save



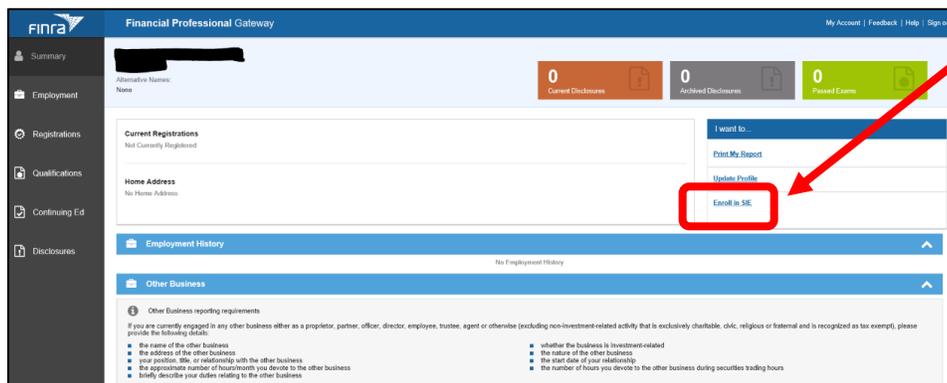
A FINRA Security Questions and Answers window will appear

- ✓ Click Continue



A FINRA Window will appear (if you already have an acct – if you do not, go to next step)

- ✓ Click **Enroll in SIE** (located under “I want to” on the right)



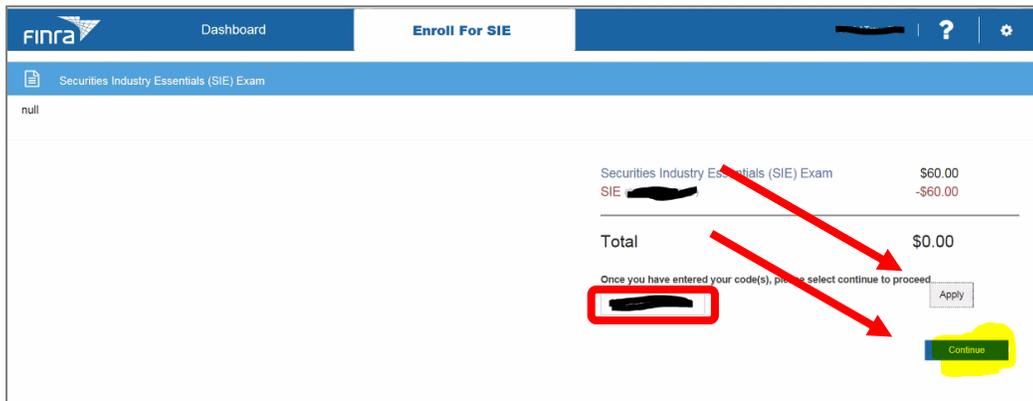
A new window will open: ENROLL FOR SIE

- ✓ **DO NOT CLICK ON CONTINUE**
- ✓ Click on the link that says “If you have a code click here” – Located under Total amount



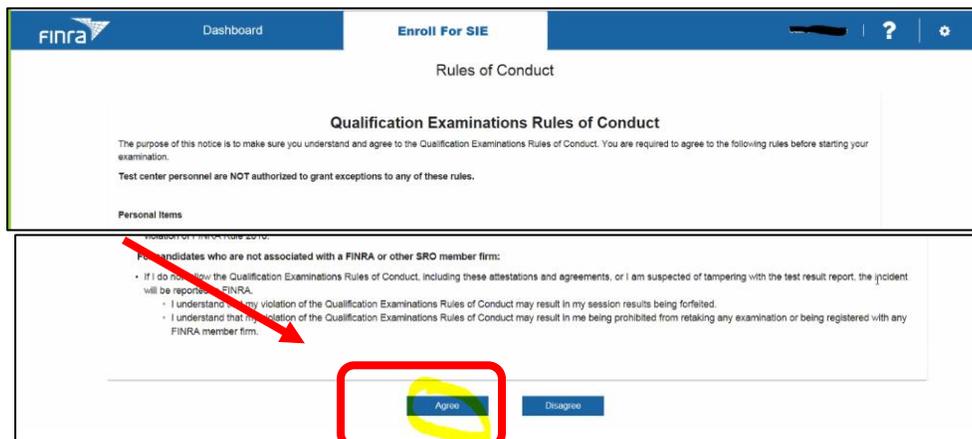
Enter Voucher code provided in the email sent by OLS (important step to avoid getting charged)

- ✓ Click apply and payment total payment will Total \$0
- ✓ Click continue to proceed



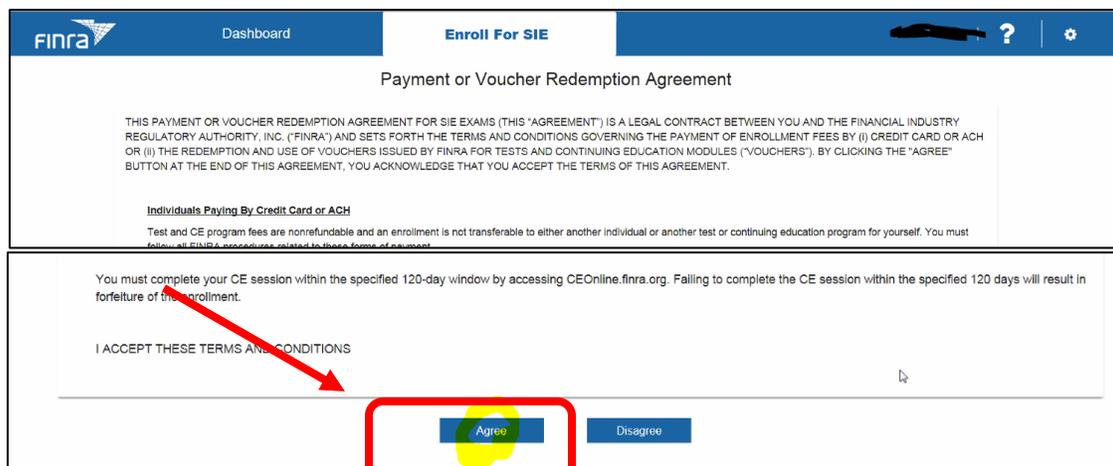
Rules of Conduct page will appear

- ✓ Scroll to the bottom of the page and **Click Agree**

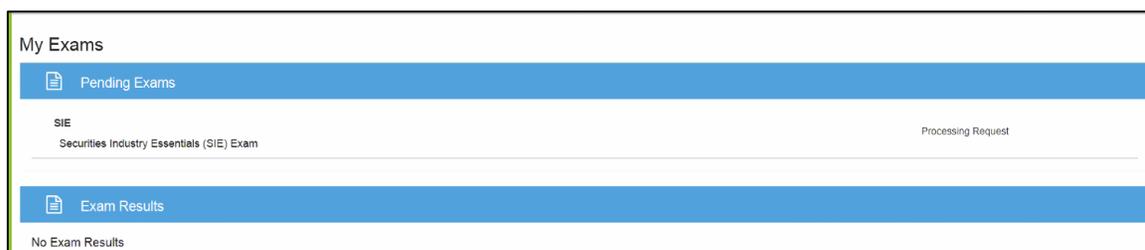


Payment or Voucher Redemption Agreement will Appear

✓ Scroll to bottom of page and Click Agree



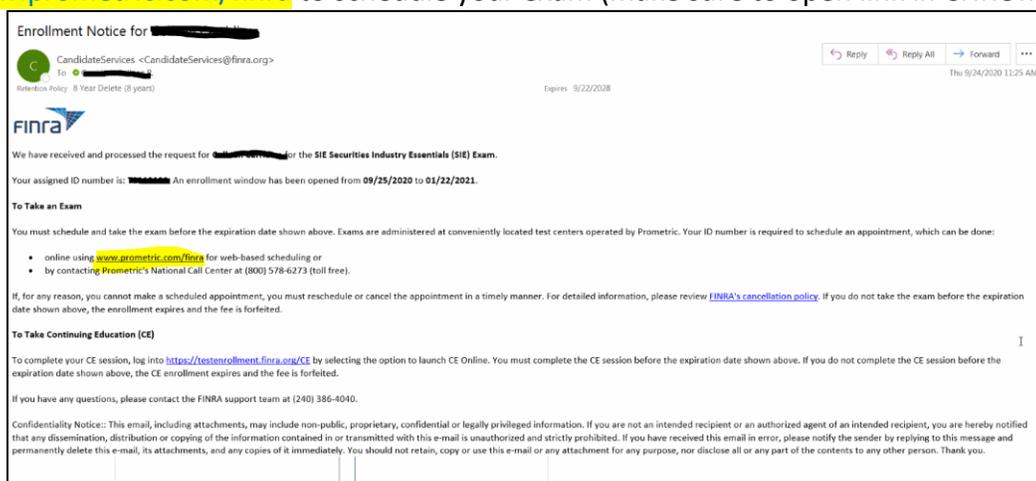
A window will appear showing your pending SIE exam



After you enroll for the SIE, you will receive an enrollment confirmation email from FINRA that includes instructions on how to schedule your appointment

- Write down your Assigned ID number for future use:
- Your 120 days window date will appear

✓ Click on www.prometric.com/finra to schedule your exam (make sure to open link in CHROME)



If you are interested in Step by Step online and testing center instructions, please refer to the other documents provided in the OLS email.