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

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	Number of Questions: 75 Format: Multiple Choice Duration: 1 hour and 45 minutes Passing Score: 70 Cost: \$60	Practice Test Frequendly Asked Questions Securities Industry Essentials (SIE) Exam Content Outline	
	Enrollment Options		
	Individuals CRD-access Organizations	Other Deganizations	
	Students, individuals considering a securities-in have SIE credit can enrol themselves for the SIE	dustry career, and formerly registered individuals who do not . To take the SIE:	
	 Create an account. Enroll for the SIE, paying with credit card o Schedule your exam. You have the option 	r ACH, or by redeeming a voucher. to test either at a Prometric test center or online.	
	For more information, review the self-enrolline	nt FAQ	
		GET STARTED	
	Content Outline		
			A 135
1044	*****	****	

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

Welcome to FINRA				
User ID	× (1)	Forgo Register N	lew User	
By clicking the 'Accep accept all the followin of Use. This Privacy Statemer Entitlement Program a Statement compleme Updates to FINRA's pr appropriate.	t' or 'Continue' button, I certify that I hu g terms and conditions including the F int relates to the online information colle and embedded forms and applications ats the full FINRA Privacy Policy and m ivacy policies will be posted here and/r	INRA Entitlement Program Terms initian and use practices of this FINR (this 'Web site'). This Privacy ay be updated from time to time. r in the full FINRA Privacy Policy, as	R A	
To enable you to be en in the securities indus identity verification an	nployed in certain positions or particip try in the United States, FINRA collects d regulatory purposes. Personal inform er, social security number, date of birth that identifies or can be used to identif	ate in certain matters or opportuniti certain personal data from you for nation may include your name, fingerprints, employment history ar y the person to whom such on submitted via this Web site for an	es nd ny ♥	
any other information information pertains.	rinna may use your personal informat			

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 7						Ныр
		Create	Profile			
First Name:	Middle Name:	Last Name	s 5	v	User ID: Generate new ID from First and Last Name	
Date of Birth: mm/ddlyyyy By checking this box, I centity that I are 18 years of age or older.	Do you have an SSN? Yes No		Social Security Number: xxx+xx+xxxx		CRD Number:	
Primary Phone:	Secondary Phone:		Primary Email:		Secondary Email:	
Residential Address (Line 1):			Residential Address (Line	2):		
City:	State/Province: Select	~	Country: United States	~	Postal Code:	

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)

From: FINRAPubAccounts@finra.org
Date: September 28, 2020 at 1:27:54 PM EDT
To: trauma01@optonline.net
Subject: Your FINRA Account Has Been Created
Welcome to the FINRA Entitlement Program. You have successfully registered as a FINRA User.
Your one-time password is
You should now be able to log into the application you requested using this link. You will be asked to change your password upon
Please DO NOT reply to this email.
IF YOU HAVE RECEIVED THIS MESSAGE IN ERROR, you should contact us at 1-800-321-6273.
Confidentiality Notice:: This email, including attachments, may include non-public, proprietary, confidential or legally privileged
the information contained in or transmitted with this e-mail is unauthorized and strictly prohibited. If you have received this em
retain, copy or use this e-mail or any attachment for any purpose, nor disclose all or any part of the contents to any other perso

The FINRA page will appear on your screen

✓ Enter UserID that you created (and wrote down) and click "Accept"

Welcome to EINDA	
User ID	Forgot User ID or Password: Register New User
By clicking the 'Accept' or 'Continue' button, accept all the following terms and condition of Use.	I certify that I have read and understood and I
This Privacy Statement relates to the online Entitlement Program and embedded forms a Statement complements the full FINRA Priva Updates to FINRA's privacy policies will be p appropriate.	Information collection and use practices of this FINRA (and applications (his 'Web site'). This Privacy cy Policy and may be updated from time to time, osted here and/or in the full FINRA Privacy Policy, as
To enable you to be employed in certain pos in the securities industry in the United States identity verification and regulatory purposes address, phone number, social security num any other information that identifies or can b	itions or participate in certain matters or opportunities FINRA collects certain personal data from you for Personal information may include your name, se, date of birth, fingerprints, employment history and e used to identify the person to whom such
regulatory purpose	ersonal information submitted via this web site for any

For issues with enrolling for SIE, please call FINRA Support Team at: 240-386-4040

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

- 11 11	a .		
Welcome	to FINRA		
User ID:	-	0	Forgot User ID or Password?
Password	I	۲	
	Edit Security Quest	lions	Log in

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



For issues with enrolling for SIE, please call FINRA Support Team at: 240-386-4040

A notice that your password rest 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

FINC	a.	1
Welcome	to FINRA	
User ID: Password		Forgot User ID or fassword?
	Edit Security Questions	Log in

For issues with enrolling for SIE, please call FINRA Support Team at: 240-386-4040

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

Security Questions and Answers: User ID: dtraumiller Please select security questions and provide answers. Choose answers that are easy to remember. Only use alphanumeric characters and use one word answers when possible. We may ask you to answer these questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with * are required fields.	(j)	Multi-Factor Authentication (MFA) for FINRA SAA and AA Accounts Learn More
What is the first name of the maid of honor at your wedding?		
Answer: * Jill X Ucestion 2: What is the first name of your oldest niece?	(j)	FINRA Entitlement Program Learn More
Question 3: What is your paternal grandfather's first name?	(30m)	To ensure security, you will be automatically logged out after 30 minutes of inactivity.
Save		Make sure to save your

- A FINRA Security Questions and Answers window will appear
- ✓ Click Continue

11	nra.	
Se	Curity Questions and Answers You have successfully set your security questions for your account. To access the application, select "Continue".	
	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)

FINTA	Financial Professional Galeway	My Account Feedback Help Sign out
🚨 Summary		
Employment	Attensitive Names: Nene	Carrent Disclosures Archived Disclosures Passed Exams
Registrations	Current Registrations Not Currently Registered	Event to
Qualifications	Nome Address No France Address	Update Profile Earrol In SE
Disclosures	Employment History	^
	No Employr	neni Hisloy
	Other Buildeess responding regulariseness Figure or quartery impacted in the rather sales as proprieties, partner, officer, director, employee, trustee, agent or otherwise (see provide the buildings data): East assess of the other buildings Be address of the other buildings Be add	Judig no-investment-initial activity that is exclusively churthalle, c.Mc. religious or fratemal and is recognized as tax exempti, please • white the business is lowestment-classed • on some of the state business • De number of hours you devote to the other business during securities trading hours

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

FINCA	Dashboard	Enroll For SIE	-	🖌 🗧 🔹
Securities Industry	/ Essentials (SIE) Exam			
The SIE is an introductory and their risks; the structu	-level exam that assesses a candidate's kno re of the securities industry markets, regulat	owledge of basic securities industry informatory agencies and their functions; and prohit	ion including concepts fundamental to working in the industr ited practices.	y, such as types of products
			Securities Industry Essentials (SIE) Exam	\$60.00
			I otal	\$60.00
				Continue
		*****	***	

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

FINTA	Dashboard	Enroll For SIE		• ? •
Securities Industry E	Essentials (SIE) Exam			
null				
			Securities Industry Escuritais (SIE) Exam SIE Total Once you have entered your code(s), pilots select continu	\$60.00 -\$60.00 \$0.00 e to proceed Apply Continuo

Rules of Conduct page will appear

✓ Scroll to the bottom of the page and Click Agree

FINCA	Dashboard	Enroli For SIE								
	Rules of Conduct									
	Qualification Examinations Rules of Conduct The purpose of this notice is to make sure you understand and agree to the Qualification Examinations Rules of Conduct. You are required to agree to the following rules before starting your examination. Test center personnel are NOT authorized to grant exceptions to any of these rules. Personal Items									
	Notence of a net of a social s									

Payment or Voucher Redemption Agreement will Appear

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

FINTA	Dashboard	Enroll For SIE	·····? •						
Payment or Voucher Redemption Agreement									
	THIS PAYMENT OR VOUCHER REDEMPTION AGREEMENT FOR SIE EXAMS (THIS 'AGREEMENT') IS A LEGAL CONTRACT BETWEEN YOU AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. ("FINRA") AND SETS FORTH THE TERMS AND CONDITIONS GOVERNING THE PAYMENT OF ENROLLMENT FEES BY (II) CREDIT CARD OR ACH OR (III) THE REDEMPTION AND USE OF VOUCHERS ISSUED BY FINRA FOR TESTS AND CONTINUING EDUCATION MODULES ("VOUCHERS"). BY CLICKING THE "AGREE" BUTTON AT THE END OF THIS AGREEMENT, YOU ACKNOWLEDGE THAT YOU ACCEPT THE TERMS OF THIS AGREEMENT.								
	Individuals Paying By Credit Card or ACH Test and CE program fees are nonrefundable and an enrollment is not transferable to either another individual or another test or continuing education program for yourself. You must								
You must complete your CE session within the specified 120-day window by accessing CEOnline-finra.org. Failing to complete the CE session within the specified 120 days will result in forfeiture of the orginal methods.									
I ACCEPT THESE TERMS AND SONDITIONS									
		Agree	Disagree						

A window will appear showing your pending SIE exam

My Exams						
Pending Exams						
SIE Securities Industry Essentials (SIE) Exam	Processing Request					
E Evam Results						
No Exam Results						

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

\checkmark	Click on	www.prometric.com	/finra	to schedule your e	exam (make sur	e to open link i	n CHROME)
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Enrollment Notice for									
CandidateServices <candidateservices@finra.org></candidateservices@finra.org>			← Reply	Control Con	→ Forward Thu 9/24/2020 1	11:25 AM			
Retention Policy 8 Year Delete (8 years)	E	apires 9/22/2028							
FINTA									
We have received and processed the request for China community for the SIE Securities Industry Es	sentials (SIE) Exam.								
Your assigned ID number is: The An enrollment window has been opened from 09/25/2020 to	Your assigned ID number is: Westerne An enrollment window has been opened from 09/25/2020 to 01/22/2021.								
To Take an Exam									
You must schedule and take the exam before the expiration date shown above. Exams are administer	ered at conveniently located tes	t centers operated by Prometric. Your ID number is required to so	hedule an appo	intment, which	can be done:				
online using <u>even prometric comflier</u> for web-based scheduling or by contacting Prometric's National Call Center at (800) 578-6273 (toll free).									
If, for any reason, you cannot make a scheduled appointment, you must reschedule or cancel the appointment in a timely manner. For detailed information, please review TINRA's cancellation policy. If you do not take the exam before the expiration date shown above, the exrollment expires and the fee is forfeited.									
To Take Continuing Education (CE)						I			
To complete your CE session, log into https://testercollment.fina.org/CE by selecting the option to launch CE Online. You must complete the CE session before the expiration date shown above. If you do not complete the CE session before the expiration date shown above, the CE enrollment expiration date shown above, the CE enrollment expiration date shown above.									
If you have any questions, please contact the FINRA support team at (240) 386-4040.									
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If you are interested in Step by Step online and testing center instructions, please refer to the other documents provided in the OLS email.