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Coronavirus Impact on FINRA-Administered Exams

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Remote Exam Updates

July 13, 2020

As previously announced, FINRA and NASAA have been working together to deliver an online testing service for candidates seeking to take qualification exams remotely. Beginning July 13, candidates and firms may schedule online test appointments for FINRA's Securities Industry Essentials (SIE), Series 6, and Series 7 exams and NASAA's Series 63, Series 65 and Series 66 exams.

FINRA and NASAA anticipate high demand for online test appointments and recognize the challenges associated with accommodating the current demand driven by months of COVID-19 restrictions. Online appointments will be limited initially so we can monitor program performance under increased volume and adjust if necessary. We expect to be able to increase appointment availability during the months of July and August. FINRA and NASAA encourage firms and candidates to utilize a combination of online testing as well as testing at an available local test center as we work with Prometric to increase online capacity. More information on test center openings and availability can be found on [Prometric's website](#).

To be eligible for an online test appointment, candidates must not have a concurrent appointment at a test center and must meet [technical and remote environment requirements](#). Candidates who currently have appointments to take an exam at a test center but wish to change to an online test appointment should make sure they can meet the above-stated requirements and be aware of any rescheduling policies before [cancelling](#) a test center appointment. In addition, firms considering online test delivery through their network and firm-issued equipment should review the [technical requirements](#) pertaining to equipment, networking and information security.

As a reminder, as previously [announced](#), all FINRA-administered exam enrollment windows that are currently expired, or will expire, between March 16 and August 2020 have been extended through the same end date of August 31, 2020.

May 10, 2020

As previously announced, FINRA and NASAA have been working together to deliver an online testing service for candidates seeking to take qualification exams. Validation of this service for the administration of securities industry exams began in late April. FINRA has decided to extend the validation period. As a result, additional time is necessary before we can make online appointment scheduling available to all test candidates and firms. We will continue to refine the implementation of this online service and will communicate an anticipated launch date in the near future.

We recognize the ongoing challenges our test candidates face during this COVID-19 pandemic and will extend all enrollment windows that are currently expired, or will expire, between March 16 and June 2020. FINRA, NASAA and MSRB exam enrollment end dates will be extended through the same end date of June 30, 2020. Affected enrollment windows will be systematically updated and reflected in CRD on May 11. Additionally, test center administration of FINRA, NASAA and other securities industry qualifications exams has resumed in some test centers.

May 1, 2020

FINRA and NASAA are pleased to report continued progress toward the launch of an online test delivery service, planned for May 24, 2020. In the weeks ahead, we will finalize requirements for this service, which will initially include online delivery of the Securities Industry Essentials (SIE), Series 6, Series 7, Series 63, Series 65, and Series 66 exams. Starting May 11, candidates and firms will be able to begin

scheduling their online test appointments for May 24 and beyond. Additional details regarding online test delivery requirements and appointment scheduling will be made available on the [Qualifications Schedule an Exam](#) page by May 11. Please note: This announcement references launch dates that are currently under evaluation as noted in the above May 10 announcement.

April 24, 2020

FINRA and NASAA are working together with input from other regulators and the industry to accelerate the delivery of an online testing service that will be administered and remotely proctored by our test delivery provider, Prometric.

The online test delivery service will allow candidates to use their personal or firm-provided, camera-equipped computer to take qualifications examinations. Prometric staff will proctor the examination through the camera and other online tools.

We are currently conducting a trial of the online testing service to work out any technical, operational or candidate experience issues.

We expect to launch the service on a limited basis in the near future, starting with the SIE, Series 6, Series 7, Series 63, and Series 66 with increasing capacity and exam offerings over the next four to six weeks. You can access additional details about this service on FINRA's COVID-19 page, starting Friday May 1st.

Prometric also announced its intention to open select test centers in limited geographic locations as early as May 1. Select in-center testing will only be made available to essential service programs, including financial services programs, and capacity will be limited due to social distancing requirements. These requirements may impact already scheduled exam appointments. For the most up-to-date information about test center availability and COVID-19 impacts, please visit the [Prometric COVID-19 website](#).

Test Centers & Exam Enrollments

Updated May 29, 2020

FINRA and Prometric take the health and well-being of our community as a top priority. Prometric previously announced that, starting on May 1, 2020, select test centers in limited geographic locations are available to essential service programs, including financial services programs, and that capacity will be limited due to social distancing requirements. More recently, Prometric announced that, beginning on June 1, 2020, select test centers in limited geographic locations will also be available to non-essential programs, subject to the same social-distancing protocols. The availability of test centers to non-essential programs may further impact candidates for FINRA exams who have been unable to schedule exam appointments to date. For the most up-to-date information about test center availability and COVID-19 impacts, please visit the [Prometric website](#).

To address the potential additional impact on exam candidates resulting from test center capacity issues, FINRA will extend all enrollment windows that are currently expired, or will expire, between March 16 and August 2020. Each FINRA-administered exam enrollment end date will be extended through the same end date of August 31, 2020. This accommodation will allow FINRA to distribute the current demand for test administrations across multiple months to make optimal use of available capacity.

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