

# PFSI Pre-Paid Licensing Track

## Mutual Funds License Checklist

### Study Materials

- Access exam prep courses and study tools on POL: Licensing & Education > Steps to Licensing > Securities. Choose Kaplan. Full Service POL required.
- Download Series 6 Key Terms (English and Spanish).
- Follow the study plan. Tune into weekly webinars: POL > Licensing & Education/Steps to Licensing > Securities > Click "PREPARE" tab > exam prep webinars.

### Set Up Securities Profile and Start Fingerprint Process

- Go to POL > My POL > All Apps for Business & Client Management > License Manager
- Click on the "Begin Securities Registration Process" link (left side of screen)
- Answer the questions and pay \$25 of the total \$42.50 fingerprint fee.
- Download and review SLIC (U4) Quick Reference Guide: POL > Licensing & Education > Steps to Licensing > Securities > Quick Links.

### Complete the Fingerprint Process

- Once your profile is set up, you will receive an email within 48 hrs to let you know when your profile is ready to access that includes instructions on how to submit your fingerprints.
- Go to [www.brokerfp.com](http://www.brokerfp.com) and follow the instructions you received by email.
- Enter user code [FPPrimerica1](#) (case sensitive) and pay the remaining \$17.50 of \$42.50 fingerprint fees.

### Complete and Submit U4

- Follow email instructions to submit U4.
- Go to POL > My POL > View All Apps > Monitor My Team > License Manager > SLIC > Apply for Securities Registration.
- Complete and submit U4. Notify RVP of U4 submission for review and approval.

### Print and Complete Securities Licensing Pak

- Download the Securities Licensing Pak at POL > Licensing & Education > Steps to Licensing > Securities > Quick Links > Securities Licensing Pak.
- Complete and sign the Pak. (Page 5: CO residents only, Page 6: NE residents only).
- Fax completed Pak to (470) 564-7071 or scan to Virtual Base Shop System (VBS).

### Need Help?

Email [us\\_securitieslicensing@primerica.com](mailto:us_securitieslicensing@primerica.com) or call the Future RVP line at (770) 381-5885, options 2,1,1,0.

### Qualifying Exam Score

- Score 70% or better on Kaplan's Practice or Master Exam within 45 days of completed U4 date or U4 will be returned to RVP.

### Review of U4 by Home Office

- U4 will be reviewed for completeness. PFSI will notify you by email if necessary.
- If "yes" answer to any U4 disclosure question, fax documents to SRR at (470) 564-7035 within 24 hrs.

### Take Exam(s)

- When all licensing requirements are met, PFSI will submit U4 to FINRA and request Series 6 exam window dates within 24-48 hrs. Exam windows are open for 120 days.
- Follow email instructions to schedule exam(s).
  - Schedule exams within 24 hours of notification of exam window dates.
  - Remember to have your CRD number for scheduling.
  - Take exams within 7-10 days.
- Series 63 window (if required\*) will open after you pass the Series 6 exam.

### PFSI Approval Process

- When you pass your exam(s), PFSI will submit your registration to your resident state for approval.
- When approved, PFSI will notify you that you may conduct business.
- Receive base shop recognition! (Certificate / T-shirt)
- Review POL resources on the Investments & Savings page to help build your securities business.

Check your Primerica email address for important notifications and instructions.

*\* Series 63 is required in all resident states except CO, DC, FL, GU, LA, MD, OH, PR.*



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