

Instructions for Completing a MC-400/MC-400A Application

The MC-400 and MC-400A applications on FINRA.org are “fillable” on your computer. This means that you can conveniently complete such applications on your computer by typing information into the displayed fields. You can then submit the complete application via email at SDGroup@finra.org or print your completed application and submit by mail to FINRA, 9509 Key West Avenue, Rockville, MD 20850.

When submitting the application via email, there is not an option for signing the completed application electronically. Please print the application and sign/date the hardcopy application. The application can then be submitted via email at SDGroup@finra.org with the handwritten signature.

Completing the Fillable Form:

1. Save the form to your local drive on your own computer.
2. (Optional) To make form fields easier to identify, click the Highlight Existing Fields button  on the document message bar. Form fields appear with a colored background (light blue by default).
3. (Optional) Right-click the document, and select either the Hand Tool or the Select Tool from the pop-up menu. The pointer changes to a different icon as you move it over a field. For example, the Hand  tool changes to an I-beam  when you can type text into the form field.
4. Click inside a text field to type.
5. (Optional) Press Tab to move forward or Shift+Tab to move backward between fields.
6. Complete the form and save the changes before emailing or printing. (To save the completed form, choose File > Save As and rename the file.)