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Series 10 Exam Info The Series 9 exam — one of the General Securities Sales Supervisor Exams — assesses the competency of an entry-level principal, including approval of customer accounts, training of personnel, and maintenance of records. Visit FINRA for more info Series 9 + 10 Prep Packages

Series 9/10 Exam Prep: Study Guide & Prep Course Bundle

The Series 9 and 10 Content Outline provides a comprehensive guide to the range of topics covered on the exams, as well as the depth of knowledge required. The outline consists of two parts that include the eight major job functions of a general securities sales supervisor.

Series 9 and 10 – General Securities Sales Supervisor ...

Series 3 Secrets Study Guide - Annette. The structure and context of this material is second to none! I also really enjoy the study tips in the beginning of the material as well - definitely something everyone should get their hands on! Series 3 Secrets Study Guide - Denney. There really are not many study guides out there for the Series 3 ...

Series 3 Exam (Practice Test) updated 2020

A Series 7 license authorizes an individual to sell many sorts of securities, including stocks, bonds, options and packaged investments. As a result, Series 7 is a prerequisite for the Series 9/10 license. Meanwhile, candidates also must pass the Securities Industry Essentials (SIE) Exam.

The Series 9/10 Exam and License - SmartAsset

Series 9 Exam Details. The FINRA ® Series 9, General Securities Sales Supervisor - Options Exam tests a candidate's knowledge of securities rules and regulations in preparing for supervising the sales activities in corporate, municipal and options securities, and more. Individuals must pass the Series 9 and the Series 10 exams to be qualified to supervise the purchase and sale of nonexempt ...

Series 9/10 Exam Details | Kaplan Financial Education

The Series 9 exam is designed to provide enough time for all students to complete each question on the exam. Taking is the Series 9 exam is stressful, even if you are a good test taker. By following this simple advice you will be able to tip the scales a bit more in your favor.

How To Pass The Series 9 Securities Exam

Series 9/10 Test Content . The Series 9/10 Exam consists of 215 multiple-choice questions in four major content areas, 60 questions for the Series 9 and 145 questions for the Series 10.

Series 9/10 - investopedia.com

The material is clear and organized and I am gaining knowledge daily by using Series 65 Exam Secrets. This product is helping in a substantial way to prepare me for the Series 65 test and I thank you. Series 65 Study Guide - Glenn. This study guide has been a tremendous help in my preparation for the Series 65 exam.

Series 65 Exam (Practice Test) updated 2020

Series 9 and 10 Exam Prep Study Materials. Kaplan Financial Education's securities licensing exam prep packages provide all the necessary tools to help you prepare, practice, and perform on the General Securities Sales Supervisor Options (Series 9) and General Securities Sales Supervisor General (Series 10) exams. We offer a variety of instruction options and exam prep study tools to best suit ...

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