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The Series 6 is designed to test candidates entering the securities industry in four major topic areas:

Function 1. Seeks Business for the Broker-Dealer from Customers and Potential Customers (12 Final Exam Questions); Function 2. Opens Accounts After Obtaining and Evaluating Customers' Financial Profile and Investment Objectives (8 Final Exam Questions); Function 3. Provides Customers with Information About Investments, Makes Suitable Recommendations, Transfers Assets and Maintains Appropriate Records (25 Final Exam Questions); and, Function 4. Obtains and Verifies Customers' Purchase and Sales Instructions; Processes, Completes and Confirms Transactions (5 Final Exam Questions). The information is presented

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Unidos, para registrarse ante la NASD como Representante de una Compañía de Inversión de Contrato Variable Limitado y calificar como vendedor de valores y contratos variables de inversión, antes debe aprobar el examen de la Serie 6. Exam Facts presents the Series 6 Investment Company Variable Contracts Limited Representative Study Guide. Get the Facts you need to learn what you need to know to help you pass this FINRA exam.. Just the Facts, no fluff material. Derek Bryan assembled the necessary information you need to learn to pass this Financial Exam. A long time Financial Industry expert and teacher, he lists directly what you should focus on. Exam Facts brings you the best in Healthcare, Finance, Business, Technology and Law study guides. We give you just the facts!!What is the priority in dividend payments? Define Secured corporate bonds. Define Diversified investment companies. Define Types of underwriting agreements. Define Corporate dividend exclusion. Define Stages of money laundering. Just a hint of what you will find in this study guide! The go-to guide to acing the Series 6 Exam! Passing the Series 6 Exam qualifies an individual to function as an agent of a broker dealer and allows the limited representative to transact business in mutual funds (closed-end funds on the

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Chapter 14: Business Retirement Plans. 64 Chapter 15: Education Savings Plans. 69 This book is designed to prepare students to pass the FINRA Series 6 Exam. The book is broken down into 4 chapters, which includes chapter exams with detailed explanations. This book also has 4 practice final exams with detailed explanations. The Investment Company Products/Variable Contracts Limited Representative exam, or the Series 6, qualifies an individual who will function as a principal for the solicitation, purchase, and/or sale of redeemable securities of companies registered pursuant to the Investment Company Act of 1940; securities of closed-end companies registered pursuant to the Investment Company Act of 1940 during the period of original distribution only; and variable contracts and insurance premium funding programs and other contracts issued by an insurance company. This qualification allows transactions on the following: Mutual funds (closed-end funds on the initial offering only); variable annuities; variable life insurance; unit investment trusts; municipal fund securities (e.g., 529 College Savings Plans, Local Government Investment Pools (LGIPs), Coverdell Education Savings Accounts). A Series 6 Registered Representative may conduct business in mutual funds and variable contracts.

Each book is accompanied by an online test bank with 201 questions, organized by chapter. The questions included in the book have been included in this online test bank. Topics Covered: Securities Markets, Investment Securities and Economic Factors Securities and Tax Regulation Marketing, Prospecting and Sales Presentation Evaluation of Customers Product Information; Investment Company Securities and Variable Contracts Opening and Servicing Customer Accounts Test: 100 multiple-choice questions; Two hours and fifteen minutes to complete exam; Candidate must answer 70% of the questions correctly to pass. There are no pre-requisites to take the Series 6 exam, but candidates must be sponsored by a FINRA member firm. The go-to guide to acing the Series 26 Exam! Passing the Investment Company Products/Variable Contracts Limited Principal Qualification Exam (Series 26) qualifies an individual to operate as a principal responsible for supervising and managing a firm and its agents conducting business in open-end mutual funds, variable annuities, and life insurance. The exam covers hiring and qualification, training of representatives, supervision, sales practices, and business processing and recordkeeping rules. A principal must have passed the Series 6 or Series 7 Exams prior to taking the Series 26. Created by the

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