



The Solomon Exam Prep Guide: Series 66 - Uniform Combined State Law Examination

Ken CFP Clark

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The NASAA Series 66 Uniform Combined State Law Examination is one of the most challenging securities licensing exams. That's because you must score at least 75% in order to pass, a higher percentage than other Series exams. The regulators have set the bar high for a simple reason: the Series 66 exam, in conjunction with the Series 7 exam, qualifies you to be a securities agent and an investment adviser representative, and the regulators want to make sure that you know what you're talking about when you give investment advice or effect securities transactions. So what does this mean for someone studying for the exam? It means that you need to know a lot of stuff, including the three types of securities registration, the nine types of investment risk, the difference between the Strong, Semi-Strong, and Weak forms of the EMH, when a securities professional is permitted to sell non-exempt unregistered securities (never), who may issue a stop order to deny, revoke or suspend, when rescission is allowed and by whom, what contumacy is and how to avoid it, what prudent investor, suitability and fiduciary mean - a lot of stuff! The comprehensive Solomon Exam Prep Guide to the Series 66 Exam works in three mutually reinforcing ways: it focuses on the most important aspects of the exam, it provides you with plenty of practice questions, and it continually reminds you why you have to take the test in the first place: to protect investors. With two complete 100-question practice exams, short quizzes and suggested notecards at the end of each chapter, as well as a helpful glossary, the Solomon Exam Prep Guide will give you the knowledge to tackle the NASAA Series 66 Uniform Combined State Law Examination with confidence!

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