



# General Securities Representative Exam

License Exam Manual  
3<sup>rd</sup> Edition

**KAPLAN** FINANCIAL

# Series 7 General Securities Study Manual

**AW Chickering**



## **Series 7 General Securities Study Manual:**

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study is required and memorizing rules and regulations is critical to success on the FINRA Series 24 exam. The emphasis of the Series 24 is on supervision keeping the broker dealer and all associated persons on the straight and narrow. The FINRA Series 24 exam outline is 50 single spaced pages of rules and regulations. What is a busy securities industry professional to do? Can the human brain memorize it all? Enter The Solomon Exam Prep Series 24 Study Guide. This brand new edition of The Solomon Exam Prep Series 24 Guide reflects all the recent rule changes such as updates to Regulation D and Rule 147. It also includes settlement changes to T-2. Written by Karen Solomon PhD, Al Schaller MA and Craig MacAllister PhD, the guide works in three mutually reinforcing ways: it focuses on the most important aspects of the exam, it provides you with plenty of practice questions with detailed rationales, and it explains the reasoning behind the rules which will help you remember them. This invaluable guide will give you the knowledge to tackle the FINRA General Securities Principal Examination with confidence.

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**Series 7 General Securities**. Dearborn Financial Institute, 1990-01-01. **Exam Facts Series 7 General Securities Representative Exam Study Guide**. Derek Bryan, 2013-02-20. Exam Facts presents the FINRA Series 7 General Securities Representative Exam Study Guide. Get the Facts you need to conquer this exam. Just the Facts, no fluff material. Investment Risks, Economics, Taxation, Regulations, Rules, Formulas, Abbreviations, and More. 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 Acid Test Ratio? What is a Restricted Stock? What is Secondary Distribution? What is Form U-4 and U-5? What are two requirements of termination for Registered Representatives? What are four components of Interpretative Material? What are the 3 components of the GDP? Who are Semi-Affluent Investors? What is the formula for Minimum maintenance for short margin accounts? Just a

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sample questions are the type that are most likely to appear on the Series 7 test and are in the same format as those on the exam. The questions are straightforward multiple choice questions with four choices and one best answer. Part I of this book contains the ten sample exams with a total of 1,250 questions. Each 125 question practice test is followed by the answer key. After the answer key, each practice exam is repeated with the answers shown and the formulas for the math questions. Part II of this book has a study guide in outline form. There is a section for each topic covered on the Series 7 exam including regulatory requirements, customer's profile, customer accounts, business conduct, orders and transactions, ethics, the primary marketplace, the secondary market, economics, analysis, equity securities, debt securities, packaged securities, options, retirement plans and savings accounts. The study outline includes details on the math formulas needed for the test. The study outline is based on the exam syllabus and contains the information on the required knowledge areas that could most likely be asked in the form of a multiple choice question.

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**Certification** Matthew Bowling, 2024. Mometrix Test Preparation's Series 7 Study Guide 2025-2026 Secrets Exam Prep Book is the ideal prep solution for anyone who wants to pass their General Securities Representative Exam. The exam is extremely

challenging and thorough test preparation is essential for success Our study guide includes 5 practice tests available online 1 of these printed in the guide Tips and strategies to help you get your best test performance A complete review of all Series 7 test sections Mometrix Test Preparation is not affiliated with or endorsed by any official testing organization All organizational and test names are trademarks of their respective owners The Mometrix guide is filled with the critical information you will need in order to do well on your Series 7 exam the concepts procedures principles and vocabulary that the Financial Industry Regulatory Authority FINRA expects you to have mastered before sitting for your exam The Seeking Business section covers Contacting Customers and Developing Marketing Materials Describing Investment Products to Customers The Opening Accounts section covers Informing Customers of Account Types and Providing Disclosures Updating Customer Information and Documentation Obtaining Customer Investment Profile Information Obtaining Supervisory Approvals Required to Open Accounts The Information Exchange section covers Informing Customers About Investment Strategies Risks and Rewards and Relevant Market Investment and Research Data Reviewing and Analyzing Customers Investment Profiles and Product Options Providing Required Disclosures Regarding Investment Products Communicating with Customers The Processing Transactions section covers Providing Current Quotes Processing and Confirming Customers Transactions and Informing Customers of Delivery Obligations and Settlement Procedures Informing the Appropriate Supervisor and Assisting in the Resolution of Discrepancies Disputes Errors and Complaints Addressing Margin Issues and much more Our guide is full of specific and detailed information that will be key to passing your exam Concepts and principles aren't simply named or described in passing but are explained in detail The Mometrix Series 7 study guide is laid out in a logical and organized fashion so that one section naturally flows from the one preceding it Because it's written with an eye for both technical accuracy and accessibility you will not have to worry about getting lost in dense academic language Any test prep guide is only as good as its practice questions and answer explanations and that's another area where our guide stands out The Mometrix test prep team has provided plenty of Series 7 practice test questions to prepare you for what to expect on the actual exam Each answer is explained in depth in order to make the principles and reasoning behind it crystal clear All 5 practice tests are available to take in online interactive format allowing you to immediately score your test and see what you got wrong We've also printed 1 practice test in your guide for offline reference We've helped hundreds of thousands of people pass standardized tests and achieve their education and career goals We've done this by setting high standards for Mometrix Test Preparation guides and our Series 7 Study Guide 2024 2025 Secrets Exam Prep Book is no exception It's an excellent investment in your future Get the Series 7 review you need to be successful on your exam

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Wiley FINRA Series 7 Exam Review 2017 Wiley, 2017-03-06 Tax Equivalent Yield Purchasing a Municipal Bond Issued in the State in which the Investor Resides Triple Tax Free Original Issue Discount OID and Secondary Market Discounts Amortization of a Municipal Bond's Premium Bond Swaps Analyzing Municipal Bonds Analyzing General Obligation Bonds The Debt Statement Self Supporting Debt Net Direct Debt Net Total Debt Community Factors Sources of Tax Revenue Determining Property Taxes Important Financial Ratios for General Obligation Bonds Analyzing Revenue Bonds Types of Revenue Pledge Municipal Fund Securities Municipal Securities Rulemaking Board MSRB Pretest Chapter 5 The Money Market Money Market Instruments Corporate Money Market Instruments Bankers Acceptances Negotiable Certificates of Deposit Commercial Paper Federal Fund Loans Repurchase Agreements Reverse Repurchase Agreement Fixed vs Open Repurchase Agreements Government Money Market Instruments Municipal Money Market Instruments International Money Market Instruments Interest Rates The Discount Rate Federal Funds Rate Broker Call Loan Rate Prime Rate London Interbank Offered Rate LIBOR Pretest Chapter 6 Economic Fundamentals Gross Domestic Product GDP Expansion Peak Contraction Trough Recession Depression Economic Indicators Leading Indicators Coincident Indicators Lagging Indicators Schools of Economic Thought Classical Economics Keynesian Economics The Monetarists Economic Policy Tools of The Federal Reserve Board Reserve Requirement Changing the Discount Rate Federal Open Market Committee Money Supply Disintermediation Moral Suasion Fiscal Policy Consumer Price Index CPI Inflation Deflation Real GDP

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top off exam taken with the Securities Industry Essentials exam to obtain General Securities Representative registration This comprehensive guide is the critical reference you need to lead you through your preparation for the Series 7 exam Packed with the latest information associated with this test as well as proven test taking strategies that are focused on maximizing your score it covers everything you need to know to score your highest on this all important exam The Series 7 exam is no joke with 125 questions administered in three hours and 45 minutes this test is certainly a challenge But with the proper preparation you ll be able to enter the exam room with confidence Offers three full length practice tests with answers and full explanations Includes one year access to six full length tests online Provides strategies and tips to hone the skills needed to ace the exam Gives you confidence to start your career as a licensed broker Series 7 Exam For Dummies 4th Edition with Online Practice is a fundamental resource that guides you through your preparations for the Series 7 exam      *Series 7 Exam Secrets Study Guide ... ,2010*

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