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The study guide is designed to provide an overview of the exam's general content and format. Candidates should educate themselves about the Uniform Securities Act, as well as Statements of Policy and Model Rules adopted by NASAA, in preparation for the Series 63 exam.

Series 63 Study Guide - NASAA

The organization responsible for the Series 63 (as well as the Series 65 and 66 exams) is the North American Securities Administrators Association (NASAA), which states in its Series 63 Exam...

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What is Series 63? The Series 63 exam is a preliminary exam that qualifies candidates to work in the securities industries. Administered by FINRA, Series 63 is a North American Securities Administrators Association (NASAA) exam. On successful completion of the Series 63 exam, candidates will be eligible to take Series 7 and Series 6 licensure exams.

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SERIES 63 STUDY GUIDE. The Series 63, Uniform Securities Agent State Law Examination, is the state law test for broker-dealer representatives. SERIES 66 STUDY GUIDE. Passing the Series 66, the Uniform Combined State Law Examination, qualifies an individual as if he or she had passed both the Series 63 and Series 65. However, to register as an investment adviser representative based on the ...

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How to Pass the NASAA Series 63 Exam on Your First Attempt

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