

Series 66 Flashcards PDF

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What is the primary purpose of the Series 66 exam?

The primary purpose of the Series 66 exam is to qualify individuals as both securities agents and investment advisor representatives.

What are the two main components of the Series 66 exam?

The two main components of the Series 66 exam are the Uniform Securities Agent State Law Examination and the Uniform Investment Adviser Law Examination.

How many questions are on the Series 66 exam?

The Series 66 exam consists of 100 multiple-choice questions.

What is the passing score for the Series 66 exam?

The passing score for the Series 66 exam is 75%.

What is the time limit for completing the Series 66 exam?

The time limit for completing the Series 66 exam is 150 minutes.

What topics are covered in the Series 66 exam?

The Series 66 exam covers topics such as laws, regulations, and ethical practices related to securities and investment advisory services.

Who is eligible to take the Series 66 exam?

Individuals who have passed the Series 7 exam or are registered with a FINRA member firm are eligible to take the Series 66 exam.

What is the format of the Series 66 exam?

The Series 66 exam is a computer-based test consisting of multiple-choice questions.

How often can you retake the Series 66 exam if you do not pass?

If you do not pass the Series 66 exam, you can retake it after a waiting period of 30 days.

What is the significance of the Series 66 exam for financial professionals?

The Series 66 exam is significant for financial professionals as it allows them to provide investment advice and sell securities in multiple states.