



# wallace cititraining

## NASD Entrance Level Securities Courses

### Series 6

#### Investment Company Products/Variable Contracts

Limits your activities to the sale of investment company products e.g. mutual funds, money market funds and variable annuities - for an NASDR broker/dealer.

#### Exam profile

2 hours 100 questions

#### Blended Learning

**Study Manual** - printed

**Practice Examinations & Explanations** – printed & Interactive

**One-on-one or small group tuition**

**Prep Program** – CD-Rom or Interactive

**Video Learning** – series of 3 videos available:

1. Markets, Regulation & General Principals
2. Variable Contracts & Retirement Plans
3. Investment Companies

**Instructor Hotline**

### Series 7

#### General Securities NASDR/NYSE Registered Representative

This is the 'bells & whistles' entrance level securities qualification for American markets. A Series 7 pass permits you to engage in sales and trading activities relating the broadest range of products including stocks, bonds, mutual funds, municipal securities, options (on underlying securities) and direct participation programs. NASD/NYSE member firm sponsorship is required.

#### Exam profile

2x3 hour papers, 250 questions, 125 questions per paper

#### Blended Learning

**Study Manual** – printed & Interactive

**Practice Examinations & Explanations** – printed, CD-Rom or Interactive

**Intensive Reviews**

**Prep Program** - CD-Rom or Interactive

**Contains 4 extra practice exams, 50 question Municipals & 50 question Options tests**

**Video Learning** – 6 videos:

1. Markets & Regulation
2. Bond Concepts
3. Municipal Bonds
4. Fundamentals of Options



## NASD Entrance Level - Securities Courses

5. Advanced Option Strategies and Margin Accounts
6. Investment Companies

### **Audio Learning** – series of audio tapes:

1. Options
2. MSRB
3. Margin
4. Bonds
5. Investment Companies

### **Instructor Hotline**

### **Equivalency Training and Testing**

## **Series 17**

### Limited Securities Registered Representative

Series 17 is a shorter version of Series 7 for those of you who are deemed by your firms as having certain Control Function status with FSA. If you are eligible it's your lucky day – your exam is 2 hours instead of the six hour Series 7. And the differences? Series 17 does not cover you to deal in Municipal Securities, although you may top up with municipals later through a Series 52 exam. You must be sponsored by an NASDR/NYSE member firm to sit this exam.

### **Exam profile**

2 hours 100 questions

### **Blended Learning**

**Study Manual** - printed

**Practice Examinations & Explanations** – printed. Interactive available soon.

**Intensive Reviews**

**Video Learning** – Markets & Regulations, Investment Companies

**Equivalency Training and Testing**

**Instructor Hotline**

## **Series 22**

### Direct Participation Programs (DPP's)

Allows you to sell direct participation programs for an NASDR broker/dealer.

### **Exam profile**

2 hours 15 minutes 100 questions

### **Blended Learning**

**Study Manual** - printed

**Practice Examinations & Explanations** - printed

**One-on-one or small group tuition**

**Instructor Hotline**

## **Series 37**

### General Securities

The Canada Module for Non-Options RRs. A shorter version of Series 7 for



## NASD Entrance Level - Securities Courses

Canadian non-options qualified RRs.

### Exam profile

2 hours 30 minutes 90 questions

### Blended Learning

**Study Manual** - printed

**Practice Examinations & Explanations** - printed

**One-on-one or small group tuition**

**Instructor Hotline**

## Series 38

General securities

The Canada Module for Options Qualified RRs. A shorter version of Series 7 for Canadian options qualified RRs.

### Exam profile

1 hour 15 minutes 45 questions

### Blended Learning

**Study Manual** - printed

**Practice Examinations & Explanations** - printed

**One-on-one or small group tuition**

**Instructor Hotline**

## Series 47

Japanese Module –Limited Registered Representative

A shorter version of Series 7 for Japanese Securities RRs.

### Exam profile

4 hours 160 questions

### Blended Learning

**Study Manual** - printed

**Practice Examinations & Explanations** - printed

**One-on-one or small group tuition**

**Instructor Hotline**

## Series 52

MSRB Municipal Securities Representative

Series 52 is a Municipal Securities Rulemaking Board (MSRB) exam and limits you to the sales and trading of municipal securities.

### Exam profile

3 hours 100 questions



## NASD Entrance Level - Securities Courses

### Blended Learning

**Study Manual** - printed  
**Practice Examinations & Explanations** - printed  
**One-on-one or small group tuition**  
**Instructor Hotline**

### Series 55

#### Equity Trader Limited Representative

For this exam, Equity Traders are market makers, agency traders and proprietary traders in equity or convertible debt securities and those who directly supervise these activities. Series 55 must be passed in addition to Series 7 (or in the UK Series 17).

#### Exam profile

3 hours 100 questions

### Blended Learning

**Study Manual** - printed  
**Practice Examinations & Explanations** - printed  
**One-on-one or small group tuition**  
**Instructor Hotline**

### Series 62

#### Corporate Securities Representative

Series 62 qualifies you to sell only corporate securities (stocks and bonds) for an NASDR broker/dealer.

#### Exam profile

2 hours 30 minutes 115 questions

### Blended Learning

**Study Manual** - printed  
**Practice Examinations & Explanations** - printed  
**One-on-one or small group tuition**  
**Instructor Hotline**

### Series 63

#### Uniform Securities Agent State Law Examination (USASLE)

Allows you to engage in securities transactions in those states that require registration at state level. Also known as the Blue Sky examination, Series 63 covers state securities laws and regulations.

#### Exam profile

1 hour 65 questions



## NASD Entrance Level - Securities Courses

### **Blended Learning**

**Study Manual** - printed and Interactive

**Practice Examinations & Explanations** - printed and Interactive

**One-on-one or small group tuition**

**Instructor Hotline**

### **Series 72**

#### Government Securities Limited Representative

Series 72 allows you to transact a member firm's business in government securities, agency securities and agency-backed mortgage securities.

### **Exam profile**

3 hours 100 questions

### **Blended Learning**

**Study Manual** - printed

**Practice Examinations & Explanations** - printed

**One-on-one or small group tuition**

**Instructor Hotline**



## NASD Entrance Level - Securities Courses

### Prices

Series	£	
6	Home Study (Practice Exams printed, CD Rom or on-line)	95
6	Progress Exams (as add-on - CD Rom, on-line)	35
6	Progress Exams (as stand-alone - CD Rom, on-line)	95
7	Home Study with choice of printed, CD Rom or on-line finals	450
7	Practice Exams as add-on (printed, CD Rom, on-line)	50
7	Home Study with Intensive Review (includes Progress Exams - choice of CD Rom or on-line)	985
7	Interactive Progress Exams CD Rom/on-line (as stand-alone)	75
7	Interactive Progress Exams CD Rom/on-line (as add-on)	35
7	Videos (Pal/CD Rom)	
	Set 6 tapes	260
	Per tape	45
7	Audio Tapes/CD	
	Set 5 tapes	95
	Per tape	25
17	Home Study (on-line finals available soon)	340
17	Home Study & Intensive Review	740
22	Home Study	95
37	Home Study	125
38	Home Study	95
47	Home Study	135
52	Home Study	125
55	Home Study	195
62	Home Study	170
63	Home Study (full course printed or on-line)	95
72	Home Study	125

VAT is not charged on books

VAT is charged on CD Rom, on-line, audio, video and Intensive Reviews