



# wallace cititraining

## NASD Supervisory Level Other Courses

### Series 14

#### NYSE Compliance Official

Series 14 tests your competence in:

1. the day-to-day compliance responsibilities of your NYSE member firm
2. the functions of a Compliance Official. Generally required if you supervise ten or more compliance-related staff.

#### 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 16

#### NYSE Supervisory Analyst

For NYSE member firms - required if you prepare or approve research reports for publication. Exam comprises Part I & Part II. If you have passed any part of the CFA examination you qualify for an exemption of Part II. NYSE requires applicants to provide 3 years 'relevant' experience.

#### Exam profile

1 hour 30 minutes (each part) 50 questions (each part)

#### Blended Learning

**Study Manual** - printed  
**Practice Examinations & Explanations** - printed  
**Intensive Reviews**  
**Instructor Hotline**

### Series 27

#### NASDR Financial & Operations Principal

For those who will supervise the financial and operations activities of an NASD member firm. Series 27 covers net capital requirements, customer protection, rules and record-keeping requirements, MSRB regulations, and broker-dealer financial reporting.



## NASD Supervisory Level - Other Courses

### Exam profile

3 hours 30 minutes 145 questions

### Blended Learning

**Study Manual** - printed

**Practice Examinations & Explanations** - printed

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

**Instructor Hotline**



## NASD Supervisory Level - Other Courses

### Prices

Series	£
14 Home Study	250
16 Pt I Home Study (Practice Exams printed, CD Rom or on-line)	90
16 Pt II Home Study (Practice Exams printed, CD Rom or on-line)	235
16 Pt I & II Home Study	305
16 Pt I Home Study & Intensive Review	175
16 Pt II Home Study & Intensive Review	480
16 Pt I & II Home Study & Intensive Review	635
27 Home Study (Practice Exams printed, CD Rom or on-line)	270

VAT is not charged on books

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