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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.

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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)

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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

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Agent State Law Examination was developed by NASAA in cooperation with representatives of the securities industry and industry associations.

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Series 63 Study Guide – Tracy This guide is a great supplement to any existing S63 exam preparation course. It does eliminate the fluff leaving you with the meat of each chapter that you will need to know for the exam. The size of the book may appear to be small, but the information is fairly concise and useful.

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