



Series 24 Exam Secrets Study Guide: Series 24 Test Review for the General Securities Principal Exam

Series 24 Exam Secrets Test Prep Team

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*****Includes Practice Test Questions*** Get the test prep help you need to be successful on the Series 24 test.** The Series 24 Exam is extremely challenging and thorough test preparation is essential for success. *Series 24 Exam Secrets Study Guide* is the ideal prep solution for anyone who wants to pass the Series 24 Exam. Not only does it provide a comprehensive guide to the Series 24 Exam as a whole, it also provides practice test questions as well as detailed explanations of each answer. *Series 24 Exam Secrets Study Guide* includes:

- A thorough overview of the Series 24 Exam
- A guide to supervision of registration of the broker-dealer and personnel management activities
- An examination of supervision of general broker-dealer activities
- An in-depth look at supervision of retail and institutional customer-related activities
- A breakdown of supervision of trading and market making activities
- An analysis of supervision of investment banking and research
- Comprehensive practice questions with detailed answer explanations

It's filled with the critical information you'll need in order to do well on the test: the concepts, procedures, principles, and vocabulary that the Financial Industry Regulatory Authority (FINRA) expects you to have mastered before sitting for the exam. **The Supervision of Registration of the Broker-Dealer and Personnel Management Activities section covers:**

- Article 4 of FINRA by-laws
- NASD rule 1010
- NASD rule 1032

The Supervision of General Broker-Dealer Activities section covers:

- NASD rule 3010section 15 of the SEA
- NASD rule 2830
- Investment company act of 1940
- SEC rule 17a-5
- Regulation T
- Insider trading and securities fraud enforcement act of 1988

The Supervision of Retail and Institutional Customer-Related Activities section covers:

- FINRA rule 2210
- FINRA rule 4210
- Customer information documentation and supplementary documentation

The Supervision of Trading and Market Making Activities section covers:

- SIPC 100 series
- FINRA rule 11860
- FINRA TRACE rules

- Regulation NMS

The Supervision of Investment Banking and Research section covers:

- FINRA rule 5110
- SEC rule 405
- Regulation S
- NASD rule 2711

These sections are full of specific and detailed information that will be key to passing the Series 24 Exam. Concepts and principles aren't simply named or described in passing, but are explained in detail. The guide is laid out in a logical and organized fashion so that one section naturally flows from the one preceding it. Because it's written with an eye for both technical accuracy and accessibility, you will not have to worry about getting lost in dense academic language. Any test prep guide is only as good as its practice questions and answers, and that's another area where our guide stands out. Our test designers have provided scores of test questions that will prepare you for what to expect on the actual Series 24 Exam. Each answer is explained in depth, in order to make the principles and reasoning behind it crystal clear. We've helped thousands of people pass standardized tests and achieve their education and career goals. We've done this by setting high standards for our test preparation guides, and our *Series 24 Exam Secrets Study Guide* is no exception. It's an excellent investment in your future.

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