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the Uniform
Securities Act,
as well as
Statements of
Policy and Model
Rules adopted by
NASAA, in
preparation for
the Series 63
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The organization
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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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work in the securities industries. Administered by FINRA, Series 63 is a North American Securities Administrators Association (NASAA) exam. On successful completion of the Series 63 Page 17/44

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Series 63, Uniform Securities Agent State Law Examination, is the state law test for brokerdealer representatives. SERIES 66 STUDY GUIDE. Passing the Series 66, the Uniform Combined State Page 25/44

Law Examination, qualifies an individual as if he or she had passed both the Series 63 and Series 65. However, to register as an investment adviser representative based on the ...

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www.nasaa.org The Uniform Securities Agent State Law Examination was developed by NASAA in cooperation with representatives of the securities industry and industry associations. Page 29/44

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appreciate about the Series 63 is that it's a relatively short exam, requiring considerably less study time than other licensing tests. In fact, the study manual can be read cover to cover in just one or two days. Page 35/44

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