Series 26 Exam Textbook and Exam Prep Software Combination Package

Description:

The go-to guide to acing the Series 26 Exam!

Passing the Investment Company Products/Variable Contracts Limited Principal Qualification Exam (Series 26) qualifies an individual to operate as a principal responsible for supervising and managing a firm and its agents conducting business in open-end mutual funds, variable annuities, and life insurance. The exam covers hiring and qualification, training of representatives, supervision, sales practices, and business processing and record keeping rules. A principal must have passed the Series 6 or Series 7 Exams prior to taking the Series 26.

The Series 26 Exam Review 2013 arms you with everything you need to pass this long 110-question multiple-choice test. Designed to help you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it provides:

- Dozens of examples
- Assorted practice questions for each subject area covered in the exam
- Priceless test-taking tips and strategies
- Helpful hints on how to study for the test, manage stress, and stay focused

This exam prep software included in the combination package allows you to take practice tests anytime, anywhere using any PC, Mac, Phone or Tablet. Create your own randomized quizzes - YOU select the topics, number of questions, how and when answers are revealed to you. Randomized finals let you know when you are ready to take the test. The series 26 exam prep software is a must have product to ensure you have mastered the knowledge and are ready to pass your series 26 exam. The software works with all major browsers and mobile devices.

The specially priced Series 26 Exam Combination Package is your ticket to passing the Series 26 test on the first try—with flying colors!

Contents:

ABOUT THE SERIES 26 EXAM
About This Book
About The Test Bank
About The Securities Institute Of America

CHAPTER 1 BROKERAGE OFFICE PROCEDURES
- Hiring New Employees
- Resignation of a Registered Representative
- Registration Exemptions
- Persons Ineligible to Register
- Disciplinary Actions against a Registered Representative
- Termination for Cause
- Outside Employment
- Private Securities Transactions
- Gift Rule
- Sharing in a Customer's Account
- Borrowing and Lending Money
- Order Tickets
- Executing an Order
- Becoming a Stockholder
- Dividend Distribution
- Pretest

CHAPTER 2 RECORD KEEPING, FINANCIAL REQUIREMENTS, AND REPORTING
- Types of Records
- Storage Requirements
CHAPTER 3 RECOMMENDATIONS TO CUSTOMERS
- General Guidelines
- Recommending Mutual Funds
- Exchange-Traded Funds (ETFs)
- Periodic Payment Plans
- Mutual Fund Current Yield
- Suitability
- Fair Dealings with Customers
- Recommendations to an Institutional Customer
- Short Sales in Connection with Recommendations
- Issuing Research Reports
- Regulation FD (Fair Disclosure)
- Pretest

CHAPTER 4 GENERAL SUPERVISION
- The Role of the Principal
- Supervisor Qualifications and Prerequisites
- Continuing Education
- Tape Recording Employees
- Information Obtained from an Issuer
- Customer Complaints
- Investor Information
- Member Offices
- Currency Transactions
- The Patriot Act
- Pretest

CHAPTER 5 CUSTOMER ACCOUNTS
- New Accounts
- Holding Securities
- The Depository Trust Company (DTC)
- Mailing Instructions
- Types of Account Ownership
- Trading Authorization
- Accounts for Employees of Other Broker Dealers
- Numbered Accounts
- Prime Brokerage Accounts
- Account Transfer
- Margin Accounts
- Day Trading Accounts
- Commingling Customer’s Pledged Securities
- Wrap Accounts
- Regulation S-P
- Pretest

CHAPTER 6 INVESTMENT COMPANIES
- Investment Company Philosophy
- Types of Investment Companies
- Investment Company Registration
- Investment Company Components
- Mutual Fund Distribution
- Mutual Fund Prospectus
- Anti-Reciprocal Rule
- Valuing Mutual Fund Shares
- Sales Charges
- Taxation of Mutual Fund Shares
- Voting Rights
- Yields
- Portfolio Turnover
- Purchasing Mutual Fund Shares
- Withdrawal Plans
- Pretest

CHAPTER 7 VARIABLE ANNUITIES, LIFE INSURANCE, AND RETIREMENT PLANS
- Annuities
- Life Insurance
- Retirement Plans
- Pretest

CHAPTER 8 SECURITIES INDUSTRY RULES AND REGULATIONS
- Issuing Securities
- The Securities Exchange Act of 1934
- The National Association of Securities Dealers (NASD)
- Becoming a Member of FINRA
- Foreign Broker Dealers
- Registration of Agents/Associated Persons
- Retiring Representatives/Continuing Commissions
- State Registration
- Communications with the Public
- Securities Investor Protection Corporation Act of 1970 (SIPC)
- The Securities Acts Amendments of 1975
- The Insider Trading & Securities Fraud Enforcement Act of 1988
- The Telephone Consumer Protection Act of 1991
- The Penny Stock Cold Call Rule
- Violations and Complaints
- Political Contributions
- Investment Adviser Registration
- Investment Adviser Representatives
- Investment Adviser Advertising and Sales Literature
- Investment Adviser Brochure Delivery
- Soft Dollars
- Broker Dealers on the Premises of Other Financial Institutions
- The Uniform Securities Act
- Sarbanes-Oxley Act
- SEC Regulation S-K
- SEC Regulation M-A
- The Hart-Scott-Rodino Act
- FINRA Rule 2290 (Fairness Opinion)
- SEC Regulation S-X
- Pretest

ANSWER KEYS
GLOSSARY OF EXAM TERMS
INDEX

Ordering:
Order Online - http://www.researchandmarkets.com/reports/2640600/

Order by Fax - using the form below

Order by Post - print the order form below and send to

Research and Markets,
Guinness Centre,
Taylors Lane,
Dublin 8,
Ireland.
Fax Order Form
To place an order via fax simply print this form, fill in the information below and fax the completed form to 646-607-1907 (from USA) or +353-1-481-1716 (from Rest of World). If you have any questions please visit http://www.researchandmarkets.com/contact/

Order Information
Please verify that the product information is correct.

Product Name: Series 26 Exam Textbook and Exam Prep Software Combination Package
Web Address: http://www.researchandmarkets.com/reports/2640600/
Office Code: SCD2RBUH

Product Format
Please select the product format and quantity you require:

<table>
<thead>
<tr>
<th>Quantity</th>
<th>USD 165 + USD 29 Shipping/Handling</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electronic and</td>
<td></td>
</tr>
<tr>
<td>Hard Copy:</td>
<td></td>
</tr>
</tbody>
</table>

* Shipping/Handling is only charged once per order.

Contact Information
Please enter all the information below in BLOCK CAPITALS

Title: Mr ☐ Mrs ☐ Dr ☐ Miss ☐ Ms ☐ Prof ☐
First Name: __________________________ Last Name: __________________________
Email Address: * __________________________
Job Title: __________________________
Organisation: __________________________
Address: __________________________
City: __________________________
Postal / Zip Code: __________________________
Country: __________________________
Phone Number: __________________________
Fax Number: __________________________

* Please refrain from using free email accounts when ordering (e.g. Yahoo, Hotmail, AOL)
Payment Information

Please indicate the payment method you would like to use by selecting the appropriate box.

☐ Pay by credit card: You will receive an email with a link to a secure webpage to enter your credit card details.

☐ Pay by check: Please post the check, accompanied by this form, to:
Research and Markets,
Guinness Center,
Taylors Lane,
Dublin 8,
Ireland.

☐ Pay by wire transfer: Please transfer funds to:
Account number 833 130 83
Sort code 98-53-30
Swift code ULSBIE2D
IBAN number IE78ULSB98533083313083
Bank Address Ulster Bank,
27-35 Main Street,
Blackrock,
Co. Dublin,
Ireland.

If you have a Marketing Code please enter it below:

Marketing Code: 

Please note that by ordering from Research and Markets you are agreeing to our Terms and Conditions at http://www.researchandmarkets.com/info/terms.asp