Series 62 Exam Textbook and Exam Prep Software Combination Package

Description: The go-to guide to acing the Series 62 Exam!

Passing the Corporate Securities Limited Representative Exam (Series 62) qualifies an individual as a representative for the sale of public offerings and/or private placements of corporate securities, rights, warrants, closed-end funds, money market funds, REITs, asset-backed securities, mortgage-backed securities, and more. Topics covered on the exam include characteristics of securities and investments, the market for corporate securities, evaluation of securities and investments, and handling customer accounts and securities industry regulation.

The Series 62 Exam Review 2013 arms you with everything you need to pass this challenging 120-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

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. With over 875 questions the series 62 exam prep software is a must have product to ensure you have mastered the knowledge and are ready to pass your series 62 exam. The software works with all major browsers and mobile devices

The specially priced Series 62 Exam Combination Package is your ticket to passing the Series 62 test on the first try—with flying colors!

Contents:

ABOUT THE SERIES 62 EXAM
About This Book
About The Test Bank
About The Securities Institute Of America

CHAPTER 1 EQUITY SECURITIES
- What Is a Security?
- Equity = Stock
- Common Stock
- Corporate Timeline
- Values of Common Stock
- Rights of Common Stockholders
- Why Do People Buy Common Stock?
- What Are the Risks of Owning Common Stock?
- How Does Someone Become a Stockholder?
- Preferred Stock
- Dividend Distribution
- Warrants
- American Depositary Receipts (ADRs)/American Depositary Shares (ADSs)
- Real Estate Investment Trusts (REITs)
- Exchange-Traded Funds (ETFs)
- Pretest

CHAPTER 2 DEBT SECURITIES
- Corporate Bonds
- Types of Bond Issuance
- Bond Certificate
- Bond Pricing
- Bond Yields
- Bond Maturities
- Types of Corporate Bonds
- Zero Coupon Bonds
- Guaranteed Bonds
- Convertible Bonds
- The Trust Indenture Act of 1939
- Bond Indenture
- Ratings Considerations
- Retiring Corporate Bonds
- Collateralized Mortgage Obligation (CMO)
- Exchange Traded Notes (ETNs)
- Other Asset Backed Securities
- Pretest

CHAPTER 3 GOVERNMENT SECURITIES
- Series EE Bonds
- Series HH Bonds
- Treasury Bills, Notes, and Bonds
- Treasury Notes
- Treasury Bonds
- Treasury Bond and Note Pricing
- Treasury Strips
- Treasury Receipts
- Treasury Inflation Protected Securities (TIPS)
- Agency Issues
- Pretest

CHAPTER 4 THE MONEY MARKET
- Money Market Instruments
- Corporate Money Market Instruments
- Government Money Market Instruments
- Municipal Money Market Instruments
- International Money Market Instruments
- Interest Rates
- Pretest

CHAPTER 5 ECONOMIC FUNDAMENTALS
- Gross Domestic Product
- Economic Indicators
- Economic Policy
- Tools of the Federal Reserve Board
- Fiscal Policy
- International Monetary Considerations
- Pretest

CHAPTER 6 ISSUING CORPORATE SECURITIES
- The Securities Act of 1933
- The Prospectus
- The Final Prospectus
- SEC Disclaimer
- Misrepresentations
- Tombstone Ads
- Freeriding and Withholding/FINRA Rule 5130
- Underwriting Corporate Securities
- Exempt Securities
- Exempt Transactions
- Rule 415 Shelf Registration
- Securities Offering Reform Rules
- SEC Rule 405
- Pretest
CHAPTER 7 TRADING SECURITIES
- Types of Orders
- The Exchanges
- Priority of Exchange Orders
- The Role of the Specialist/DMM
- Crossing Stock
- Do Not Reduce (DNR)
- Adjustments for Stock Splits
- Stopping Stock
- Commission House Broker
- Two Dollar Broker
- Registered Traders
- Super Display Book/SDBK
- Short Sales
- Threshold Securities
- Block Trades
- Trading Along
- Circuit Breakers
- Listing Requirements for the NYSE
- Reading the Consolidated Tape
- Exchange Qualifiers
- The Nasdaq Market
- The Alternative Display Facility (ADF)
- Trade Reporting and Comparison Service (TRACS)
- Electronic Communication Networks (ECNs)
- Unlisted Trading Privileges
- Market Centers
- SEC Regulation NMS
- SEC Regulation ATS
- Nasdaq International
- NonNasdaq OTC BB
- Pink Sheets
- Third Market
- Fourth Market
- Market Maker Regulations and Responsibilities
- Times for Entering a Quote
- The Opening Cross
- Order Imbalances
- The Nasdaq Official Opening Price (NOOP)
- The Closing Cross
- The Nasdaq Halt Cross
- Withdrawing Quotes
- Handling and Displaying Customer Limit Orders
- The Manning Rule
- The Order Audit Trail System (OATS)
- Automated Confirmation System/ACT Market Center Trade Reporting Facility
- ACT/TRF Trade Scan
- Avoiding Double Scan
- Market Making During Syndication
- Trade Reporting and Compliance Engine (TRACE)
- Broker vs. Dealer
- FINRA 5% Markup Policy
- Markups/Markdowns When Acting as a Principal
- Riskless Principal Transactions
- Net Transactions with Customers/FINRA Rule 2124
- Proceeds Transactions
- Firm Quote Rule
- Trade Complaints Between Members
- Arbitrage
- Pretest

CHAPTER 8 CUSTOMER ACCOUNTS
- Opening a Customer Account
- Holding Securities
- Mailing Instructions
- Types of Accounts
- Death of a Customer
- Partnership Accounts
- Corporate Accounts
- Trading Authorization
- Accounts for Employees of Other Broker Dealers
- Numbered Accounts
- Day Trading Accounts
- Account Transfer
- Option Accounts
- Margin Accounts
- Commingling Customer's Pledged Securities
- Wrap Accounts
- Regulation S-P
- Pretest

CHAPTER 9 MARGIN ACCOUNTS
- Regulation of Credit
- Establishing a Long Position in a Margin Account
- Establishing a Short Position in a Margin Account
- Combined Margin Accounts
- Margin Requirements for Day Trading
- Portfolio Margin Accounts
- Pretest

CHAPTER 10 RETIREMENT PLANS
- Individual Plans
- Individual Retirement Accounts (IRAS)
- Keogh Plans (HR-10)
- Tax Sheltered Annuities (TSAS)/Tax Deferred Accounts (TDAS)
- Employee Retirement Income Security Act of 1974 (ERISA)
- Pretest

CHAPTER 11 BROKERAGE OFFICE PROCEDURE
- Executing an Order
- Clearly Erroneous Reports
- Execution Errors
- Corporate and Municipal Securities Settlement Options
- When Issued Securities
- Government Securities Settlement Options
- Accrued Interest
- Rules for Good Delivery
- Delivery of Round Lots
- Delivery of Bond Certificates
- Rejection of Delivery
- Don't Know Procedures (DK)
- Fail to Deliver/Fail to Receive
- Due Bills
- Customer Account Statements
- Carrying of Customer Accounts
- Proxies
- Pretest

CHAPTER 12 FUNDAMENTAL AND TECHNICAL ANALYSIS
- Fundamental Analysis
- Changes in the Balance Sheet
- Technical Analysis
- Efficient Market Theory
- Capitalization weighted index
- Price weighted index
- Pretest
CHAPTER 13 CUSTOMER RECOMMENDATIONS, PROFESSIONAL CONDUCT, AND TAXATION
- Professional Conduct in the Securities Industry
- Fair Dealings with Customers
- Recommendations to an Institutional Customer
- Recommending Exchange Traded Funds (ETFs)
- Information Obtained from an Issuer
- Disclosure of Client Information
- Borrowing and Lending Money
- Gift Rule
- Outside Employment
- Private Securities Transactions
- Customer Complaints
- Investor Information
- Know Your Customer
- Investment Objectives
- Risk vs. Reward
- Tax Structure
- Investment Taxation
- Calculating Gains and Losses
- Taxation of Interest income
- Inherited Securities
- Donating Securities to Charity
- Estate Taxes
- Withholding Tax
- Corporate Dividend Exclusion
- Alternative Minimum Tax (AMT)
- Taxes on Foreign Securities
- Pretest

CHAPTER 14 SECURITIES INDUSTRY RULES AND REGULATIONS
- The Securities Exchange Act of 1934
- The National Association of Securities Dealers (NASD)
- Registration of Agents/Associated Persons
- Securities Investor Protection Corporation Act of 1970 (SIPC)
- The Securities Acts Amendments of 1975
- The Insider Trading and Securities Fraud Enforcement Act of 1988
- The Telephone Consumer Protection Act of 1991
- The Penny Stock Cold Call Rule
- The Role of the Principal
- Currency Transactions
- The Patriot Act
- The Uniform Securities Act (USA)
- Sarbanes-Oxley Act
- SEC Regulation S-K
- SEC Regulation M-A
- FINRA Rule 5150 Fairness Opinion
- SEC Regulation S-X
- Regulation FD Fair Disclosure
- Pretest

ANSWER KEYS
GLOSSARY OF EXAM TERMS
INDEX

* See free downloads for sample questions and software screenshots.
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 62 Exam Textbook and Exam Prep Software Combination Package
Web Address: http://www.researchandmarkets.com/reports/2640798/
Office Code: SCD2RBOV

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

| Quantity | Electronic and Hard Copy: | USD 125 + USD 29 Shipping/Handling |

* 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

Please fax this form to:

(646) 607-1907 or (646) 964-6609 - From USA
+353-1-481-1716 or +353-1-653-1571 - From Rest of World