



## Series 99 Exam Secrets Study Guide: Series 99 Test Review for the Operations Professional Qualification Examination (Mometrix Secrets Study Guides)

By Series 99 Exam Secrets Test Prep Team

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The Series 99 Exam is extremely challenging and thorough test preparation is essential for success. *Series 99 Exam Secrets Study Guide* is the ideal prep solution for anyone who wants to pass the Series 99 Exam.

Not only does it provide a comprehensive guide to the Series 99 Exam as a whole, it also provides practice test questions as well as detailed explanations of each answer.

*Series 99 Exam Secrets Study Guide* includes:

- A detailed overview of the Series 99 Exam
- An examination of the basic knowledge associated with the securities industry
- A guide to basic knowledge associated with broker-dealer operations
- An in-depth look at professional conduct and ethical considerations

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 Basic Knowledge Associated with the Securities Industry section covers:**

- Purpose of the marketplace
- Characteristics of securities and products
- Basic knowledge of the characteristics of broker-dealers

**The Basic Knowledge Associated with Broker-Dealer Operations section covers:**

- Basic knowledge of account opening and maintenance
- Basic knowledge of cashiering and account transfers
- Basic knowledge of custody and control of securities
- Basic knowledge of trade reporting and trade corrections
- Basic knowledge of corporate actions
- Basic knowledge of margin and stock loan/securities lending
- Basic knowledge of settlement
- Basic knowledge of account statements and confirmations
- Basic knowledge of books and records

**The Professional Conduct and Ethical Considerations section covers:**

- Employee conduct
- Relationships and dealings with customers, vendors, and associated persons
- Customer privacy
- Importance of escalating complaints and/or potential red flags
- Broker-dealer supervision and control

These sections are full of specific and detailed information that will be key to passing the Series 99 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 99 Exam. Each answer is explained in depth, in order to make the principles and reasoning behind it crystal clear.

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