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question it is important that you are able to understand the nature of your mistake and how to avoid making it again in the future. The answer explanations will help you to learn from your mistakes and overcome them. Understanding the latest test taking strategies is essential to preparing you for what you will expect on the exam. A test taker has to not only understand the material that is being covered on the test but also must be familiar with the strategies that are necessary to properly utilize the time provided and get through the test without making any avoidable errors. Anyone planning to take the Series 7 exam should take advantage of the review material, practice test questions and test taking strategies contained in this study guide.

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The Securities Industry Essentials Exam is an exciting new development from the industry regulator known as FINRA Historically those who wanted to become securities agents had to be hired by a broker dealer before taking a license exam Now with the implementation of the Securities Industry Essentials SIE Exam those interested in entering the industry can take a securities license exam on their own Then after being hired by a member firm these individuals will take a top off exam such as the Series 6 or Series 7 to complete their FINRA licensing requirements The results of the SIE are good for four years Therefore an individual can take the exam long before he chooses his career path and begins his job search in the financial services industry Those who have passed the Securities Industry Essentials SIE Exam are presumed to have an advantage over other candidates as they have shown initiative and already cleared one hurdle in the process of getting a candidate registered with FINRA and the state securities regulators This book follows the Securities Industry Essentials SIE Exam Outline provided by FINRA There are four sections of the FINRA outline which is why this book also has four chapters Chapter 1 covers primary offerings of securities such as IPOs or initial public offerings Types of broker dealer businesses and their basic financial and regulatory requirements are explored Finally we look in some detail at basic economic factors affecting securities investments including inflation interest rates and the business cycle The largest chapter Chapter 2 is called Understanding Products and Their Risks Here we explore insurance and securities products in detail following with a detailed examination of investment risks related to various investment approaches Annuities corporate bonds Treasuries municipal securities common stock preferred stock and derivatives are all discussed in detail in this chapter Chapter 3 examines customer accounts trading securities and FINRA regulations of agents The last chapter Chapter 4 focuses on the regulation of the securities industry Here we explore federal securities legislation as well as FINRA in detail After each chapter you will take a chapter review exercise and then a chapter review quiz At the end of the four chapters you will find two full length practice exams 75 questions each A detailed

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