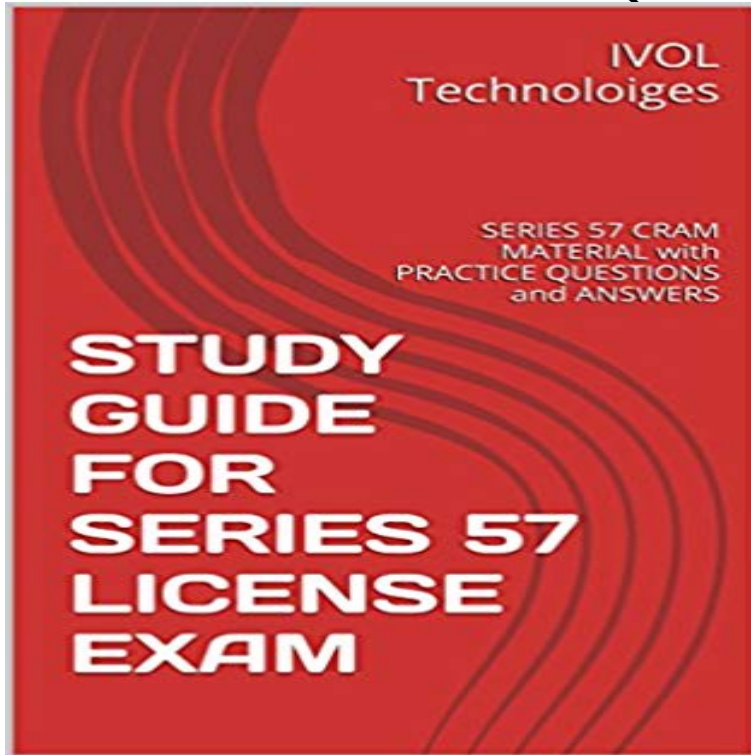


STUDY GUIDE FOR SERIES 57 LICENSE EXAM: SERIES 57 CRAM MATERIAL with PRACTICE QUESTIONS and ANSWERS



This book offers Series 57 Exam study material. Subject matter is explained to the point and needless details omitted to save study time. Content covered includes: - Market structure - Employment Forms (U4, U5) - Exchange Floor Participants: Market Maker, DMM, Floor Broker, Floor Trader, DPM / LMM / SMM. - Violations (Trading Ahead, Wash Sales, Painting the Tape, Front Running, Trade Shredding, Structuring, Interpositioning, Spoofing, Manning Rule, marking the close / open etc.) - Rules and Regulations (M, FD, SHO, NMS, ATS, 144, etc.) - Trading Halts - Insider Trading - IPO - Trade Rotation - Order Audit Trail - Trade Execution - Settlement - Trade Reporting - Erroneous Trades - Options clearing process - Fast Markets - Security Types (ADR, ETF, ETN, FLEX, Preferred, etc.) - Order Types and Modifiers (Peg, Discretionary, Cabinet / Accommodation Trade, FOK, At The Close, MOC, IOC, AON, Minimum Quantity, etc.) - Time in Force for Orders (SIOC, SDAY, etc.) - NASDAQ Opening Cross, Closing Cross and IPO Cross, MarketWatch, TotalView - SEC Filings - Share Repurchase - Penny Stocks - Portfolio Margin - Ex-Dividend - Currency Options - Trade Blotter - Record Keeping - JBO - Dutch Auction - Tender Offer - Options Disclosure Document and Options Account Agreement - Voting Rights (Statutory, Cumulative, Contingent) - Position and Exercise Limits - Position Limit Exemptions - Code of Arbitration - ATM, ITM and OTM options - How to Enter Orders - Market Maker Option Max Bid Ask Spreads - Rights Offerings - OTC Securities, OTCBB, Pink sheets - NMS Securities terms, Effective Spread - Self Help Alert - Transfer Agents - Payment for Order Flow - Program Trading - CQS / CTS - VWAP - Markup / Markdown - Subject, Reference and Covered Security - Prime Brokerage Requirements - Limit Up Limit Down Rule (LULD) for Securities -

Electronic Blue Sheets - Form T - Block Positioner - Option Synthetics - Option Strategies Based on the study material in chapter 1, over 350 practice questions are provided in chapter 2. Answers to all questions are in Chapter 3. This book is not intended to provide trading advice and is for educational purposes only. It is meant to be an important supplement with other study material, but should not be used as the only study material you will need to pass the exam.

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study guide) and took 3 practice tests, getting 60,68,78 I got 82% on the test. **How to Pass The Series 66 Exam - Securities Institute of America** STUDY GUIDE FOR SERIES 57 LICENSE EXAM: SERIES 57 CRAM MATERIAL with PRACTICE QUESTIONS and ANSWERS eBook: IVOL Technoloiges: **Free Part 107 Test Study Guide For FAA Remote Pilot Airmen** This review is from: STUDY GUIDE FOR SERIES 57 LICENSE EXAM: SERIES 57 CRAM MATERIAL with PRACTICE QUESTIONS and ANSWERS (Kindle **PassPerfect** For me, the stakes were very high - pass the series 7 exam on the Step 1: Get the STC materials with the study manual and online practice You may or may not remember the questions answers from before - I .. 11/28/08 - 7:57pm . why a hedge fund manager is pushing you towards FINRA licenses. **Series 57 Exam Training and Practice Exam Questions** Pass the Series 57 exam with practice exam questions, textbooks, exam prep 57 exam prep materials boast the highest pass rates in the industry and will guide you the topics, number of questions, how and when answers are revealed to you. If you want to access your material on the go, this is the study solution you **How much study for Series 7?** - This 10-question quiz will really help you prepare for the Cisco CCNA exam. Chapter 1 Fundamentals of IP - Chapter 5 of CCNA Intro Exam Certification Guide Networking Associate (CCNA) certification requires more than just studying. to help you test your knowledge and understanding of a variety of CCNA topics.