

Series 66 Exam Study Guide

Issuer Securities Exclusions for Registering as an Agent - >>>>U.S. Government Securities

Municipal Securities

Canadian Government Securities

Banks

Promissory notes & investment Contracts

Do you have to be registered as an Agent to sell securities issued by Insurance Co. Securities and Federal Savings & Loans Securities - >>>>Yes, however, these securities are listed in the federal list of exemptions

Exempt Transactions from registering as an agent - >>>>*Normal everyday secondary market transactions (trading)

*Transactions in covered securities

Covered Securities which exempt industry professional from registering as an agent in their state - >>>>*Securities sold to qualified purchasers

*Securities sold in a private placement

Agent - Broker/dealer exceptions - >>>>*a rep servicing a client in one state while the client is temporarily in another state

*A partner, officer, or director of a B/D or issuer

Investment Advisor definition (3 key points) - >>>>ABC

*Provide ADVICE about securities

*as a BUSINESS

* for COMPENSATION in any form

"Excluded" from the definition of an Investment Advisor at the state level - >>>>Part 1-

Section 66 Study Guide Answers

Matt Walker

A red circular graphic with a gradient, appearing as a semi-circle or a partial circle, located to the right of the author's name.

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