

## FINRA Series 6 Exam Study Questions with Correct Answers

What factors determine the number of annuity units an investor will receive after annuitizing a variable annuity?  1) The payout option  
2) Assumed interest rate (AIR)  
3) The annuitant's age  
4) The annuitant's gender

Who must sign a new account form?  The two signatures required on a new account form are from the registered representative and the principal.

What is the purpose of the form U-4?  The purpose of the form U-4 is to register a registered representative with a member firm.

Businesses that do better in bad economic conditions are \_\_\_\_\_.  Counter-cyclical

Registered representatives are prohibited from receiving "off the book" compensation from a wholesaler. T or F  True

What is the red herring?  A preliminary prospectus that includes material information about an offering and contains an estimate of the range within which the final offering price is to be set.

What is maximum contribution per year into an IRA? What is the penalty for any excess contribution?  Maximum contribution = \$5000  
Penalty = 6% of excess amount and earnings on this amount are not tax-deferred

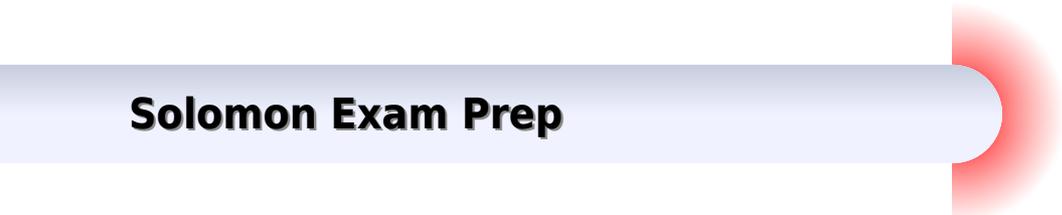
What are the characteristics of a contractual plan?  1) Required periodic investments  
2) Automatic reinvestment of distributions  
3) Protection for plan completion

What is the penalty for an early withdrawal from an IRA? What is the age requirement for withdrawal?  Penalty = 10% on the taxable portion of the withdrawal, and is also reported as income that year.  
Age = 59 1/2

What exceptions would waive the penalty of an early withdrawal from IRA?  The IRA holder:  
-Dies  
-Becomes disabled

# Finra Series 6 Exam Study Guide

**Solomon Exam Prep**



## **Finra Series 6 Exam Study Guide:**

*Pass The 6(tm)* Robert Walker,2016-01-05 Trying to Pass your Series 6 exam Pass The 6 is written with the reader always in mind This Series 6 exam study guide uses Plain English and concise explanations as it ticks off the items mentioned on the FINRA Series 6 exam outline point by point Notice that there are four chapters in our study material which correspond to the four sections of the FINRA Series 6 Exam outline We try to keep things as easy as possible in our study guides because the Series 6 exam itself is anything but To reduce your frustration in getting your Series 6 license we try to make sure each sample question in our Pass the 6 Practice Exam Question Bank is explained within this Series 6 textbook In fact we encourage you to use this study guide while working through the Series 6 sample questions When you encounter a tough practice question you can quickly and easily look it up in this textbook in order to come away from the question with a deeper understanding of the topics involved on the Series 6 Remember that the Series 6 is not a memorization test but rather a competency exam Too many Series 6 candidates go to the testing center expecting to simply recognize a few vocabulary terms when in fact passing your Series 6 requires you to work with the information at a much deeper level than many assume That s why we explain things in a way you ll both understand and remember at the testing center It takes more work on our end but we feel our job is to make things easier on your end We also take what you learn in the pages of this Series 6 exam study guide to a higher level by presenting you with well over 700 challenging questions in our Pass the 6 Practice Exam Question Bank However our sample questions are not designed to merely trick you rather our Series 6 sample questions are designed to help you learn the information as you improve your ability to eliminate the incorrect answer choices you will see when taking the Series 6 exam Be sure to keep a notebook filled with all that you learn from working the questions and reading the helpful explanations that follow For an extra edge try writing your own variations of our Series 6 practice questions in this same notebook something our tutoring clients have found extremely helpful Pass the 6 is your guide to a passing score on the Series 6 exam This textbook is at the same time in depth and easy to read We don t skimp on the details found on the FINRA Series 6 exam outline Rather we skimp on the filler found in many of the more tedious license exam manuals on the market To give yourself an edge on this difficult license exam buy this book and then go to [www.examzone.com](http://www.examzone.com) to buy the Pass the 6 Practice Exam Question Bank and other Series 6 study materials The Series 6 Exam is not easy The best time to get started is now Pass the 6 Robert Walker,2013-08-19 Do the terms collateralized mortgage obligation subordinated debenture and pass through certificate give you a headache Do you need to take the Series 6 exam If you can answer yes to both of these questions then you ve come to the right place Robert Walker a professional trainer who specializes in the FINRA Series 6 63 65 66 and 7 exams has written this book for those who are about to brave the Series 6 examination Armed with an M F A in writing and a B A in English Walker has managed to translate Securities ese into plain English with a liberal dash of humor This must have book guides you through the intricacies of the Series 6 exam matching

each book chapter to the corresponding exam section Walker takes the exam apart piece by piece and explains terms and concepts with a sense of humor and ease not found in other exam guides He shows you step by step how not to be misled by the questions Pass the 6 includes chapter quizzes plus two complete 100 question practice exams as well as a handy glossary Once you ve finished this book you will be able to take the test with confidence **The Solomon Exam Prep Guide**

Solomon Exam Prep,2018-06-19 The Series 6 exam also called the FINRA Investment Company Products and Variable Contracts Limited Representative Examination has a daunting reputation for a reason it is the exam that qualifies individuals to sell securities of companies registered under the Investment Company Act of 1940 This means redeemable securities mutual funds unit investment trusts and variable contracts variable annuities variable life insurance as well as closed end funds at their initial offering How are you going to scale this mini mountain of information Let Solomon Exam Prep guide you through the material as efficiently and painlessly as possible The Solomon Exam Prep Guide Series 6 FINRA Investment Company Products and Variable Contracts Limited Representative Examination offers a no nonsense guide to the Series 6 exam With detailed explanations visual study aids and example questions this Solomon Exam Prep guide will get you on track to passing the Series 6 Solomon Exam Prep has helped thousands pass their FINRA NASAA and MSRB licensing exams Let our expertise guide you through the Series 6 so you can enter the exam room with confidence Solomon Exam Prep offers clear easy to understand study materials and classes for securities licensing exams Along with the Series 6 we help students prepare for the Securities Industry Essentials SIE exam and the Series 3 7 24 26 27 28 50 51 52 53 63 65 66 79 82 and 99 exams Solomon s innovative study solutions include digital and print Exam Study Guides Online Exam Simulators Audiobooks and live classes and tutoring to give you the best chance to pass the first time Founded by Professor Karen Solomon Ph D University of Chicago and Jeremy Solomon MBA Wharton Solomon Exam Prep is dedicated to producing high quality financial education that everyone can understand *Wiley FINRA Series 6 Exam Review 2017 Wiley,2017-03-06* This book is designed to let you build and fine tune your knowledge of all areas covered in the exam It provides dozens of examples assorted practice questions for each subject area covered in the exam test taking tips and strategies and helpful hints on how to study for the test manage stress and stay focused **Pass The 6 - 2015(tm)** Robert M. Walker,2015-03-01 Trying to Pass your Series 6 exam Pass The 6 is written with the reader always in mind This Series 6 exam study guide uses Plain English and concise explanations as it ticks off the items mentioned on the FINRA Series 6 exam outline point by point Notice that there are four chapters in our study material which correspond to the four sections of the FINRA Series 6 Exam outline We try to keep things as easy as possible in our study guides because the Series 6 exam itself is anything but To reduce your frustration in getting your Series 6 license we try to make sure each sample question in our Pass The 6 Online Practice Question Bank is explained within this Series 6 textbook In fact we encourage you to use this study guide while working through the Series 6 sample questions When you encounter a tough practice question you can quickly and easily look it up in

this textbook in order to come away from the question with a deeper understanding of the topics involved on the Series 6 Remember that the Series 6 is not a memorization test but rather a competency exam Too many Series 6 candidates go to the testing center expecting to simply recognize a few vocabulary terms when in fact passing your Series 6 requires you to work with the information at a much deeper level than many assume That s why we explain things in a way you ll both understand and remember at the testing center It takes more work on our end but we feel our job is to make things easier on your end We also take what you learn in the pages of this Series 6 exam study guide to a higher level by presenting you with well over 700 challenging questions in our test bank However our sample questions are not designed to merely trick you rather our Series 6 sample questions are designed to help you learn the information as you improve your ability to eliminate the incorrect answer choices you will see when taking the Series 6 exam Be sure to keep a notebook filled with all that you learn from working the questions and reading the helpful explanations that follow For an extra edge try writing your own variations of our Series 6 practice questions in this same notebook something our tutoring clients have found extremely helpful Pass the 6 c is your guide to a passing score on the Series 6 exam This textbook is at the same time in depth and easy to read We don t skimp on the details found on the FINRA Series 6 exam outline Rather we skimp on the filler found in many of the more tedious license exam manuals on the market To give yourself an edge on this difficult license exam buy this book and then go to [www.examzone.com](http://www.examzone.com) to buy the practice questions and other Series 6 study materials The Series 6 is not easy The best time to get started is now [150+ Quick Review Facts for the FINRA Series 6 Exam](#) E Staff, 150 Quick Review Facts for the FINRA Series 6 Exam Learn and review on the go Use 150 Quick Review Facts for the FINRA Series 6 Exam Notes to help you learn or brush up on the subject quickly You can use the review notes as a reference to understand the subject better and improve your grades Easy to remember facts to help you perform better **Series 63 Study Guide** Johnny P. Bradley, 2025-02-27 Have you ever wondered what it takes to navigate the complex world of securities regulations and succeed in a career as a licensed financial professional What are the key concepts that will help you pass the Series 63 exam with confidence Whether you re new to the industry or preparing for your next big step understanding the intricate rules and ethical guidelines governing securities professionals is crucial for your success This comprehensive guide dives deep into the knowledge you need to pass the Series 63 exam covering everything from state securities laws to business ethics registration requirements and regulations governing securities transactions As a financial professional your understanding of these areas will directly impact the safety and transparency of the financial markets making it essential to grasp these principles thoroughly The Series 63 exam focuses on the Uniform Securities Act and the regulatory framework that governs securities professionals at the state level With detailed explanations and practice questions this guide breaks down complex topics like the role of investment advisers broker dealers and agents and their fiduciary duties You ll also learn about the registration process for securities and professionals exemptions from registration and the ethical guidelines that

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