

Series 10 At a Glance

General Securities Sales Supervisor Exam (Options Rules and Regulations)

EXAM SPECIFICATIONS

- ◆ Exam length: 4 hours
- ◆ Number of questions: 145
- ◆ Passing score: 70% (102 of 145)
- ◆ Registration as a general securities sales supervisor requires passing the Series 9 and 10 Exams.

RECOMMENDED PREPARATION

- ◆ Connect with your Knopman Marks instructor for updates and guidance (212-626-6899).
- ◆ 60–80 hours (4–8 weeks while working full-time)
- ◆ Questions to complete:
 - 1,000 Qbank questions

STUDY RESOURCES AVAILABLE

1. Digital and physical textbooks
2. Online question bank with over 1,000 practice questions
3. Final benchmark PDF exam
4. Class summaries and supplements

All online study resources can be accessed in your Training Center at www.knopman.com

AVAILABLE CLASS FORMATS

- ◆ Live training (in person or remote)
- ◆ Online video lectures
- ◆ Accessible across all mobile devices

BEST PROCESS TO PREPARE FOR THE EXAM

Before beginning your preparation, please call our office to speak with an instructor who will share important updates and give guidance on how to focus your study effort.

1. Read the book.
 - ◆ Do not take notes. Read to gain exposure and familiarity with the content.
 - ◆ Pay special attention to “Take Note,” “Test Topic Alert,” and “Example” items.
2. Attend a live class or watch the on-demand lectures.
 - ◆ You can begin taking practice exams before attending class. Doing so will make the class more valuable but is not required.
3. Complete at least 700 Qbank questions, using these settings:
 - ◆ Select the **gold** “Custom Quiz” button (*not* the **red** “Simulate Exam” button).
 - ◆ Under “Topics Available” check the “All Questions” box.
 - ◆ Under “Questions to Include” select “Unused.”
 - ◆ Under “Number of Questions” take practice quizzes of 30–60 questions.
 - ◆ Finally, select “Launch Quiz.”

For EVERY question you miss or are unsure of, return to the book and review the section referenced in the explanation.

Final Prep (1–2 weeks)

4. Once you have completed 700 questions and are scoring 70% or higher, complete two 145-question Qbank exams on all topics.
 - ◆ Uncheck “Show Score As You Go” and “Show Answer Explanations” under “Quiz Features”—practice pacing, endurance, and timing by completing these exams in 4 hours.
5. Complete the benchmark exam three to four days prior to your exam. Review each question and answer explanation.
6. Review your class notes and the class supplement multiple times.

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GENERAL EXAM COMMENTS AND GUIDANCE

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- ♦ **Heavily tested topics:** The Series 10 is a rules- and regulations-based exam. You must be able to apply knowledge of NYSE, FINRA, SEC, and MSRB rules to specific, client-related scenarios. Be sure you fully understand the purpose and details of these rules, referring back to the textbook and supplements frequently for reinforcement.
- ♦ **Textbook review:** Returning to the book when reviewing questions is key. With this strategy, you will see most topics in the book at least twice. Reading the explanations to the practice questions alone is not enough.
- ♦ **Targeted practice:** If you underperform on certain topics, re-read the relevant unit and take a targeted, 30-question exam on just that unit (e.g., 30 questions on Unit 2).

EXAM BREAKDOWN

Topic	Number of Questions
Supervision of Associated Persons and Personnel Management Activities	28
Supervision of the Opening and Maintenance of Customer Accounts	49
Supervision of Sales Practices and General Trading Activities	52
Supervision of Communications with the Public	16
Total	145

HOW TO GET HELP

- ♦ Technical support (including Qbank access issues), class enrollments, general administrative questions: material@knopman.com
- ♦ Content-related questions: follow up directly with your instructor, or email our teaching staff at ts@knopman.com
- ♦ These inboxes are checked during weekdays, evenings, and weekends.