

Series 53 At a Glance

Municipal Securities Principal Exam

EXAM SPECIFICATIONS

- ◆ Exam length: 3 hours
- ◆ Number of questions: 100
- ◆ Passing score: 70% (70 of 100)

RECOMMENDED PREPARATION

- ◆ Connect with your Knopman Marks instructor for updates and guidance (212-626-6899).
- ◆ 50–60 hours (4–6 weeks while working full-time)
- ◆ Questions to complete:
 - 700 online practice questions

STUDY RESOURCES AVAILABLE

1. Digital and physical textbook
2. Online question bank with over 750 practice questions
3. 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 online video 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 500 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; increase this to 100 questions as your exam approaches.
 - ◆ 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 500 questions and are scoring 70% or higher, complete two 100-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 3 hours; aim for scores of 75% or higher on these final exams.

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GENERAL EXAM COMMENTS AND GUIDANCE

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- ♦ **Passing the Series 53 Exam** will depend on your knowledge of the tested MSRB rules and their applications across various scenarios.
- ♦ **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
Federal Regulations	4
General Supervision	23
Sales Supervision	25
Origination and Syndication	23
Trading	10
Operations	15
Total	100

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.