

Series 63 At a Glance

Uniform Securities Agent State Law Exam

EXAM SPECIFICATIONS

- ◆ Exam length: 1 hour 15 minutes
- ◆ Number of questions: 60 + 5 ungraded (65 total)
- ◆ Passing score: 72% (43 of 60)

RECOMMENDED PREPARATION

- ◆ 20–30 hours (1–3 weeks while working full-time)
- ◆ Questions to complete:
 - Eight 65-question Qbank exams (520 questions total)
 - Final PDF benchmark exam (60 questions)

STUDY RESOURCES AVAILABLE

1. Digital and physical textbook
2. Online question bank with over 1,100 practice questions
3. Practice exams (PDF format)
4. Class summaries and supplements
5. Digital Flashcards

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

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BEST PROCESS TO PREPARE FOR THE EXAM

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,” “Example,” and “Case Study” items.
2. Complete two 65-question Qbank exams (one on all topics; one on Units 1, 4, and 5).
 - ◆ Log in to your Training Center. Click on “Practice Exams.”
 - ◆ Click “Access Your Courses” then “Series 63” followed by “Knopman Marks—Series 63 Securities Pro Qbank.”
 - ◆ Select the **gold** “Custom Quiz” button (*not* the **red** “Simulate Exam” button).
 - ◆ Under “Topics Available” click the “+” signs until you see the five individual units—then check all the units or just Units 1, 4, and 5.
 - ◆ Under “Questions to Include” select “Unused.”
 - ◆ Under “Number of Questions” enter 65 questions.
 - ◆ Under “Quiz Features” check “Show Score As You Go” and “Show Answer Explanations.”
 - ◆ 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.

3. Attend a live class or watch the online video lectures—take notes on the slide handouts.
4. Complete two 65-question Qbank exams as described in step 2.
5. Read the class supplement and review your class notes.
6. Complete two 65-question Qbank exams as described in step 2.
7. Re-read Units 1, 4, and 5. Re-skim Units 2 and 3.
8. Review the class supplement and class notes.

Final Prep

9. Complete two final 65-question Qbank exams (as described in step 2) but uncheck “Show Score As You Go” and “Show Answer Explanations” under “Quiz Features”—practice pacing, endurance, and timing by completing each exam in 65 minutes (10 minutes faster than the real exam). Aim to score 80%.
10. Complete your benchmark exam, reviewing all explanations.

GENERAL EXAM COMMENTS AND GUIDANCE

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- ◆ **Do not underestimate the Series 63.** While the Series 63 covers less than the Series 7 or 79, most of the topics and concepts will be unfamiliar. Passing the exam requires a thorough understanding of state laws, rules, and regulations that can only be acquired with a comprehensive study effort. Industry experience alone is not sufficient. If you are not **consistently scoring 80%** after the eight Qbank exams, continue taking two Qbank exams (one on all topics; one on Units 1, 4, and 5) until you are.
- ◆ **Heavily tested topics:** Units 1, 4, and 5 make up 85% of the exam, so these units should receive more study time and attention.
- ◆ **Qbank exams v. real exam:** The real exam is slightly harder than the Qbank exams because its questions are longer and more ambiguous. The answer choices are also quite similar to one another, so you must trust your instinct and intuition to select the best answer. Do not second-guess yourself.
- ◆ **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	Textbook Chapter
Regulation of Persons (Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives)	24	1
Regulation of Securities and Issuers	3	2
Remedies and Administrative Provisions	6	3
Communication with Customers and Prospects	12	4
Ethical Practices and Obligations	15	5
Total	60	

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.