

# Series 99 At a Glance

## Operations Professional Exam

### EXAM SPECIFICATIONS

- ◆ Exam length: 2 hours 30 minutes
- ◆ Number of questions: 100 + 10 ungraded (110 total)
- ◆ Passing score: 68% (68 of 100)

### RECOMMENDED PREPARATION

- ◆ 50–100 hours (this can vary considerably; see the first note under General Exam Comments and Guidance on following page)
- ◆ Questions to complete:
  - 750 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
4. Digital Flashcards

All online study resources can be accessed in your Training Center at [www.knopman.com](http://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

1. Read the book.
  - ◆ Do not take notes. Read to gain exposure and familiarity with the content.
  - ◆ Pay special attention to Knopman Notes.
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 750 online practice questions by logging to your Training Center and clicking on "Practice Exams."
  - ◆ Begin with shorter exams (30–50 questions) to drill and practice a single topic or a smaller set of topics.
    - After selecting your exam topics, check "Questions I have not seen before" under "Select Question Pool"—this way each question is new.
    - Check "Show correct answer & explanation after each question" under "Exam Display Options" so you can immediately review the rationale. This aids comprehension and retention.
  - ◆ After completing 600–700 questions and scoring 68% or higher, begin taking full-length, timed exams (110 questions in 2 hours 30 minutes). These exams can be scored as you go or at the end to replicate actual exam conditions, but remember to review every question you miss or are unsure of.
  - ◆ The goal is to consistently score 70% or higher on the full-length exams.
4. Review the latest supplements multiple times, as these cover heavily tested topics and concepts.

**KNOPMANMARKS**  
FINANCIAL TRAINING

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## GENERAL EXAM COMMENTS AND GUIDANCE

# KNOPMANMARKS

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- ♦ **The Series 99 can be a challenging exam.** The required study time and commitment varies widely based on one's background, industry experience, and test-taking experience. Many operations professionals taking the Series 99 have not been in school or had multiple-choice exams in many years, and re-learning how to learn and test is an important part of this process for them.
- ♦ **Securities products:** Although it is an operations exam, expect to see some questions on securities products, including stocks, bonds, and mutual funds. Questions will focus on the characteristics along with the products' benefits, risks, and rules.
- ♦ **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).
- ♦ **Qbank exams v. real exam:** Expect the actual exam to have questions that are long and ambiguous.
- ♦ **Knopman Notes and supplements:** The most up-to-date and heavily tested items are found in the Knopman Notes and supplements.

## EXAM BREAKDOWN

Topic	Number of Questions
Basic Knowledge Associated with the Securities Industry	32
Basic Knowledge Dealing with Broker-Dealer Operations	48
Professional Conduct and Ethical Considerations	20
<b>Total</b>	<b>100</b>

## HOW TO GET HELP

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