

# Series 99 At a Glance

## Operations Professional Exam

### EXAM SPECIFICATIONS

- ◆ Exam length: 1 hour 30 minutes
- ◆ Number of questions: 50 + 5 ungraded (55 total)
- ◆ Passing score: 68% (34 of 50)

### RECOMMENDED PREPARATION

- ◆ 40–60 hours (4–8 weeks while working full-time)
- ◆ Questions to complete:
  - 600 online practice questions
  - Final online benchmark exam

### STUDY RESOURCES AVAILABLE

1. Digital and physical textbook
2. Online question bank with over 600 practice questions
3. Class summaries and supplements

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

### AVAILABLE CLASS FORMATS

- ◆ 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. Watch our online video lectures, taking detailed notes on the class handouts.
3. Complete 600 online practice questions by logging in 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 300–400 questions and are scoring 68% or higher, begin taking full-length, timed exams (55 questions in 1 hour and 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 68% or higher on the full-length exams.
4. **Review the Knopman Notes and supplement multiple times, as these cover heavily tested topics and concepts.**

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## GENERAL EXAM COMMENTS AND GUIDANCE

- ◆ **Heavily tested topics:** Be ready to identify "red flags" that may indicate operational errors, client abuse or manipulation, or wrong-doing by a registered rep or a firm.
- ◆ **Qbank exams v. real exam:** Expect the actual exam to be slightly easier than the Qbank, if you can pass the Qbank exams you can pass the real exam.
- ◆ **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. **Do not memorize the Qbank questions**, the real exam will cover the same topics, but the questions will be different. The goal is to understand each concept and be able to answer any question on it.
- ◆ **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).
- ◆ **Knopman Notes and supplement:** The most up-to-date and heavily tested items are found in the Knopman Notes and class summary.

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## EXAM BREAKDOWN

Topic	Number of Questions
Knowledge of the Securities Industry and Broker-dealer Operations	35
Professional Conduct and Ethical Considerations	15
<b>Total</b>	<b>50</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.