

Series 9 At a Glance

General Securities Sales Supervisor Exam (Options Section)

EXAM SPECIFICATIONS

- ◆ Exam length: 1 hour 30 minutes
- ◆ Number of questions: 55
- ◆ Passing score: 70% (39 of 55)
- ◆ 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).
- ◆ 40–60 hours (4–6 weeks while working full-time)
- ◆ Questions to complete:
 - 410 Qbank questions

STUDY RESOURCES AVAILABLE

1. Digital and physical textbooks
2. Online question bank with over 500 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 300 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 25–55 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 300 questions and are scoring 70% or higher, complete two 55-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 1 hour and 30 minutes.
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 majority of the Series 9 Exam is regulatory based. You must have a strong command of the regulatory scheme as it concerns options, and be able to apply these rules and regulations to specific customer-related 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).
- ♦ **Options strategies:** You will also be asked to analyze specific options strategies, and determine whether or not they are suitable for a particular client, based on information provided by the question.

EXAM BREAKDOWN

Topic	Number of Questions
Supervision of the Opening and Maintenance of Customer Options Accounts	18
Supervision of Sales Practices and General Options Trading Activities	19
Supervision of Options Communications	5
Supervision of Associated Persons and Personnel Management Activities	13
Total	55

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.