

Download Study Guide For Uniform State Test

The Uniform Combined State Law Examination was developed by NASAA based on industry requests. The examination (also called the “Series 66”) is designed to qualify candidates as both securities agents and investment adviser representatives. Passing the Series 66, the Uniform Combined State Law Examination, qualifies an individual as if he or she had passed both the Series 63 and Series 65. However, to register as an investment adviser representative based on the Series 66, an individual must also have passed the FINRA Series 7 exam and the exam must be valid (i.e., not expired).

Chapter 14: Uniform State Test State Regulatory Authority Responsibilities Minimum requirements include:

- Providing effective supervision and enforcement of the law, (suspension, termination, etc.) for a violation of state or federal law
- Ensuring all state-licensed MLOs operating in the state are registered with NMLS2A

Uniform State Test Study Guide and Practice Exam The graded practice test will ask 100 questions. Upon completion you will receive a report of the questions you missed, which will help you decipher what areas of study you may need more focus on.