

TAKE ACTION

THREE STEPS TO REGISTERING AS AN INVESTMENT ADVISOR

Step 1: Preparing for the 65

We have had numerous advisors who have been very successful with the study materials from "Testteacher" that can be found at: <http://www.testteachers.com>

"Pass the 65" also has great study materials that can be found at: <http://www.passthe65.com>

Attend a live interactive three day series 65 review streaming webinar at: www.pnistreamlinereview.com

Kaplan also offered study material and "live" two day classes available as well as online study materials <http://www.kfeducation.com/securities/series-65/>

Step 2: Opening Your Testing Window

In order for the advisor to sit for the series 65 exam, a testing window must be opened with the NASD/FINRA. This link will take you directly to the site that allows the advisor to register directly online:

<http://www.finra.org/Industry/Compliance/Registration/QualificationsExams/Qualifications/P121907>

Towards the top left of the page in the middle will be a button that reads "Submit Form U10 Online"

Once the testing window is open, it will remain open for 120 days. **There are two different approaches that we have found advisors will take when preparing for the exam and finally testing.**

1. The Advisor will open the window immediately knowing that they now have a fixed amount of time to study and take the exam. This approach usually encourages them to buckle down and study hard and get it over with.

2. The Advisor will buy the study materials and prepare for the exam, at a later date will then register and open their testing window and then sit for the exam.

Step 3: Registering with Tucker

Once you have passed your series 65 licensing exam, please go to www.TuckerAM.com and click on the **Join Tucker** button to register with us.

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