




Series 65 Course Introduction





Welcome to class! Each course is comprised of sections that correspond to the sections found on the examination content outline. The Series 65 course includes four sections:


- Section One: Economic Factors and Business Information
- Section Two: Investment Vehicle Characteristics
- Section Three: Investment Recommendations and Strategies
- Section Four: Laws, Regulations, and Guidelines

Each section is divided into easily digestible topics. Each topic has the following three components:


Read  PDF of the information for that topic that you should read first


Watch  A video for you to watch explaining that topic

Take  A topic quiz to practice your new knowledge


 **Tip:** Make sure to pass every exam in the course with a 90% or better understanding why the correct answer is correct, and the incorrect answers are incorrect. Do **not** memorize the questions in the course. They will be different on the exam!

Each section ends with a review. Each review has two components:

Watch  Section Essential Concepts to watch


Take  Section Review Exam to practice your knowledge

The course ends with a final exam that is properly weighted and timed.

Take  Final Exam for you to Master

Step one is to watch the course introduction video and read the glossary. Learning what the words mean will help you **master** the content, setting you up to **pass** the exam!

Date: _____

Watch  Course Introduction Video

Read  Glossary

ACTION

"Action is the foundational key to all success." - Pablo Picasso



Series 65 4-week Study Plan



This study plan is designed for you to complete one section each week. Depending upon your schedule, you can shorten the time by studying more topics each day, or lengthen the time, as is appropriate for your life. Each section is divided into easily digestible topics. Topics will take an hour or two to complete. Each topic has the following three components:



Read



PDF of the information for that topic that you should read first.

The PDF is between 1 and 18 pages long, averaging 30 minutes to an hour to read.



Watch



A video(s) for you to watch explaining on the topic.

The videos are between 5 - 73 minutes total.



Take



A topic quiz to practice your new knowledge.

Topic quizzes are short, designed to take 10 - 30 minutes.

Week One Section One: Economic Factors and Business Information

Section One has **seven** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box!

Date: _____ Section 1.1 - Basic Economic Concepts I

Date: _____ Section 1.2 - Basic Economic Concepts II

Date: _____ Section 1.3 - Financial Reporting I

Date: _____ Section 1.4 - Financial Reporting II

Date: _____ Section 1.5 - Analytical Methods I

Date: _____ Section 1.6 - Analytical Methods II

Date: _____ Section 1.7 - Types of Risk

Date: _____ Section One Review: Essential Concepts Video and Section Exam



Now would be an excellent time for you to schedule your exam. You want to make sure to schedule to take it shortly after completing the course, and it may take some time to get into the testing center. You should determine exactly when you will be completing your studies and get the exam scheduled for a day or two immediately after that. You **will** pass!



Series 65 4-week Study Plan



Week Two Section Two: Investment Vehicle Characteristics

Section Two has **sixteen** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box!



- Date: _____ Section 2.1 - Cash and Cash Equivalents
- Date: _____ Section 2.2 - Fixed Income Securities
- Date: _____ Section 2.3 - Characteristics of Fixed Income Securities
- Date: _____ Section 2.4 - Equity Securities
- Date: _____ Section 2.5 - Characteristics of Equity Securities
- Date: _____ Section 2.6 - Methods Used to Determine the Value of Equity Securities
- Date: _____ Section 2.7 - Equity Public Offerings
- Date: _____ Section 2.8 - Pooled Investments I
- Date: _____ Section 2.9 - Pooled Investments II
- Date: _____ Section 2.10 - Characteristics of Pooled Investments
- Date: _____ Section 2.11 - Derivative Securities
- Date: _____ Section 2.12 - Alternative Investments I
- Date: _____ Section 2.13 - Alternative Investments II
- Date: _____ Section 2.14 - Insurance Based Products - Annuities
- Date: _____ Section 2.15 - Insurance Based Products - Life Insurance
- Date: _____ Section 2.16 - Other Assets
- Date: _____ Section Two Review: Essential Concepts Video and Section Exam



Series 65 4-week Study Plan



Week Three Section Three: Investment Recommendations and Strategies

Section Three has **fourteen** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box!



- Date: _____ Section 3.1 - Types of Clients
- Date: _____ Section 3.2 - Client/Customer Profile
- Date: _____ Section 3.3 - Capital Market Theory I
- Date: _____ Section 3.4 - Capital Market Theory II
- Date: _____ Section 3.5 - Portfolio Management Strategies, Styles and Techniques
- Date: _____ Section 3.6 - Tax Considerations
- Date: _____ Section 3.7 - Retirement Plans
- Date: _____ Section 3.8 - ERISA Issues
- Date: _____ Section 3.9 - Special Types of Accounts
- Date: _____ Section 3.10 - Ownership and Estate Planning Techniques
- Date: _____ Section 3.11 - Trading Securities I
- Date: _____ Section 3.12 - Trading Securities II
- Date: _____ Section 3.13 - Portfolio Performance Measures I
- Date: _____ Section 3.14 - Portfolio Performance Measures II
- Date: _____ Section Three Review: Essential Concepts Video and Section Exam



Series 65 4-week Study Plan



Week Four Section Four: Laws, Regulations, and Guidelines

Section Four has **eight** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box! The week will end with the Final Exam!

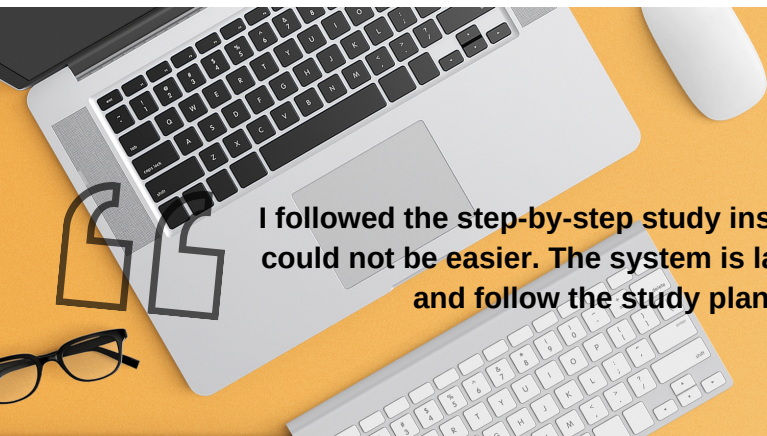


- Date: _____ Section 4.1 - Regulation of Investment Advisers
- Date: _____ Section 4.2 - Regulation of Investment Adviser Representatives
- Date: _____ Section 4.3 - Regulation of Broker-Dealers
- Date: _____ Section 4.4 - Regulation of Agents of Broker-Dealers
- Date: _____ Section 4.5 - Regulation of Securities and Issuers
- Date: _____ Section 4.6 - Remedies and Administrative Provisions
- Date: _____ Section 4.7 - Communication with Clients and Prospects
- Date: _____ Section 4.8 - Ethical Practices and Fiduciary Obligations
- Date: _____ Section Four Review: Essential Concepts Video and Section Exam

Date: _____ Final Exam



Congratulations on completing your studies. Green means go. Now it is your turn to PASS your exam. You CAN do this! Good luck!



I followed the step-by-step study instructions and passed on my first attempt. It could not be easier. The system is laid out to pass, simple as that. Do your part and follow the study plan, and you will pass the first time.



- John



Series 65 4-week Study Plan



THE DAY OF YOUR EXAM:

Here are some tips that will help you control your stress and anxiety the day of your exam. You may want to try them beforehand to find out which one works best for you:

- **Deep breathing.** Inhale deeply while you count to five and hold the breath for a count of one, then slowly exhale while you count to five. Repeat as many times as necessary.
- **Move your body.** Roll your head in a circle then rotate your shoulders. Shake your hands at your wrists. You should find these movements very relaxing.
- **Visualize your success.** Visualize your happy place. First, figure out where it is. Then, close your eyes and visualize yourself there. This is a great one to practice in advance of your exam.

More specifically, if you feel overwhelmed during your exam, here are some tips you can utilize to calm yourself:

- **Repeat your self-confidence message.** Or, better yet, write it on the scratch paper they give you.

I WILL PASS!!

- **Visualize one more time.** Visualize yourself completing and passing the exam with time to spare.
- **Find an easy question.** They won't all be easy, but there should be some really easy test questions you encounter. Find one and answer it. Completing a question you absolutely know you got right will give you a good confidence boost.
- **Take a mental break.** Face it, the exam is long. You will probably have at least one mental lapse during the exam. If you do, accept it and bring your brain back into focus. Close your eyes and do some deep breathing for a short period, try a 4 count inhale, and a 6 count exhale.

We hope these tips will help you control your exam anxiety and stress. Good luck on your exam.

- The PassMasters Team