



# Your Kaplan Guide to Securities Licensing

Are you considering a career in the securities industry? If you're looking for more information about what a registered representative or investment advisor does, you are in the right place. Here are a few reasons to consider this in-demand career, as well as the steps to get you started.

## Benefits of Pursuing a Career in Securities



**High Demand:** The Bureau of Labor Statistics suggests jobs for personal financial advisors are projected to grow 6% by 2026, due in large part to financial advisors planning to retire in the next decade.



**Flexible Schedule:** With new advances in technology, connectivity, and mobility, most securities professionals have the flexibility to create their own schedules.



**Diversity and Variety:** From sales and marketing to relationship building to keeping up with industry changes, the challenges a securities professional faces are different every day.



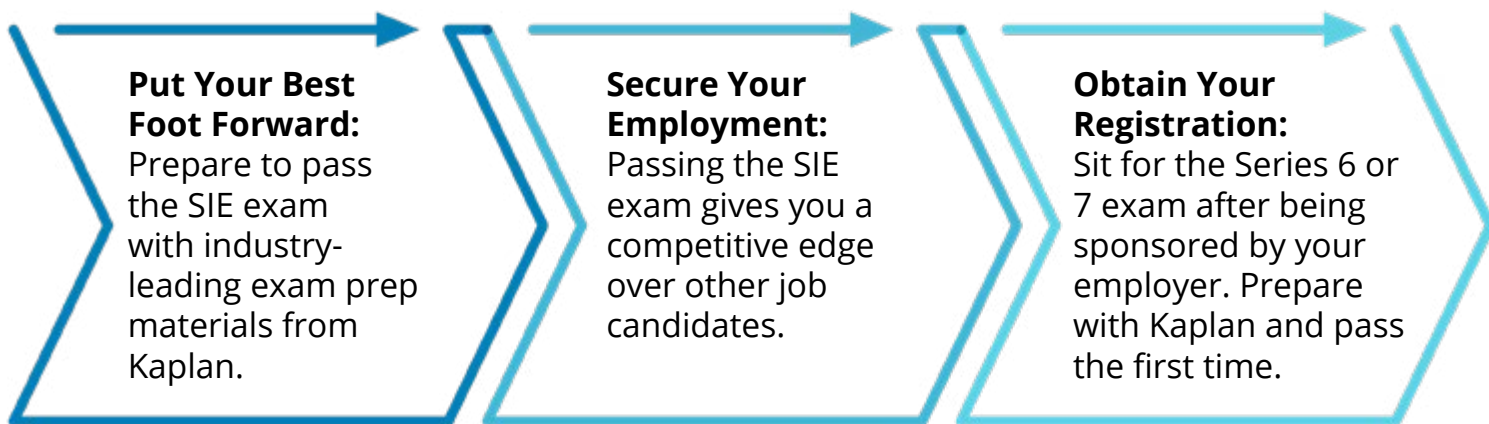
**High Earning Potential:** According to the Bureau of Labor Statistics, the median annual wage for securities, commodities, and financial services sales agents is \$63,780, with the top 10 percent earning \$187,200.



**Career Opportunities:** The securities industry offers numerous opportunities for career placement and advancement. Whether you want to manage funds for a corporation, work as a financial planner, or buy and sell securities, your options are endless.

# Starting Your Career in Securities

Your first step to a career in the securities industry is taking the Securities Industry Essentials (SIE) exam. The SIE exam tests your knowledge on capital markets, understanding products and their risks, trading, customer accounts, and prohibited activities, as well as common regulations in the securities industry. After passing the SIE exam, you need to be sponsored by a registered firm to take the Series 6 or 7 top-off exam, which provides you with your registration.



## Prepare with a Kaplan exam prep study package.

|                             | Essential                                                                                                                                                                   | Basic                                                                                                                                                                              |
|-----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                             | This package is a self-study option with a customizable study calendar that schedules daily tasks based on an individual's preferred study time frame and series exam date. | The Basic Self-Study Package provides a strong foundation for the self-directed individual who has a proven record of success when studying without the guidance of an instructor. |
| Instruction                 | Self-Study                                                                                                                                                                  | Self-Study                                                                                                                                                                         |
| Study Calendar              | •                                                                                                                                                                           | •                                                                                                                                                                                  |
| License Exam Manual (LEM)   | •                                                                                                                                                                           | •                                                                                                                                                                                  |
| Class Notes                 |                                                                                                                                                                             |                                                                                                                                                                                    |
| SecuritiesPro™ QBank        | •                                                                                                                                                                           | •                                                                                                                                                                                  |
| Video Library               | •                                                                                                                                                                           |                                                                                                                                                                                    |
| Checkpoint Exams            | •                                                                                                                                                                           |                                                                                                                                                                                    |
| Midterm Exam                | •                                                                                                                                                                           |                                                                                                                                                                                    |
| Practice Exam               | •                                                                                                                                                                           | •                                                                                                                                                                                  |
| Mastery Exam                |                                                                                                                                                                             |                                                                                                                                                                                    |
| Exam Tips & Content Updates | •                                                                                                                                                                           | •                                                                                                                                                                                  |
| InstructorLink™             | •                                                                                                                                                                           |                                                                                                                                                                                    |