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Series 7 Exam Secrets Test Prep Team

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- SROs
- Registrations and requirements

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- Requirements and approvals for opening new accounts
- Different types of account registration and authorizations
- Maintenance of customer account records
- Closing an account
- Transfers

The Private Placements section covers:

- Rule 144
- Regulation offerings

The Secondary Market section covers:

- broker and dealer
- Market makers

The Market analysis section covers:

- Market sentiment and market momentum
- Short interest
- The bond buyer and munifacts

The Equity Securities section covers:

- Stocks
- stockholders
- Stocks' cost basis

The Individual Retirement Accounts section covers:

- IRAs
- Transfers and rollovers
- Retirement plans

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