

FINRA Exams Practice Test Questions and Answers

1. What does FINRA stand for?

- A) Financial Industry Regulatory Authority
- B) Federal Insurance Risk Assessment
- C) Financial Investment Research Agency
- D) Federal Industry Registration Authority

2. Which exam is required for general securities representatives?

- A) Series 63
- B) Series 7
- C) Series 66
- D) Series 24

3. What is the purpose of the Series 63 exam?

- A) Municipal securities representative qualification
- B) Uniform Securities Agent State Law Examination
- C) Investment advisor qualification
- D) Options principal examination

4. How long is the typical registration period for FINRA exam results?

- A) 6 months
- B) 2 years from the exam date
- C) 1 year
- D) 5 years

Answers: 1-A 2-B 3-B 4-B

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