



Series 55 Exam Flashcard Study System: Series 55 Test Practice Questions & Review for the Equity Trader Qualification Examination (Cards)

Series 55 Exam Secrets Test Prep Team

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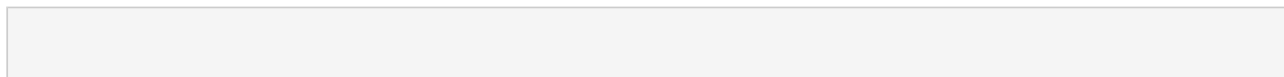
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- Market maker
- Clearly erroneous transaction
- Discretionary order, reserve order, and limit order
- System routing options
- Stabilizing
- Penny stock
- OTC bulletin board service

The Order Handling section covers:

- Determining if a member is using reasonable due diligence in a transaction
- Average effective spread and average realized spread
- Situations in which a broker-dealer may mark an order short exempt
- Record Keeping and Regulatory Reporting
- Transmitting transaction reports to the ADF
- Transactions that do not require reporting to the FINRA/Nasdaq trade reporting facility
- Information a reporting member is required to record

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