

# uCertify

## Course Outline

**Rice Series 7 Exam 2023/2024**



19 May 2024

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Chapter 17: Rules and Regulations: No Fooling Around  
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Here's what you get

Features

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## 1. Course Objective

Are you gearing up for a career in the financial industry? The Rice Series 7 Exam 2023/2024 course is your comprehensive guide to mastering the Series 7 examination, a crucial step toward becoming a licensed General Securities Representative. Rice Series 7 Exam 2023/2024 course is designed to assess your knowledge and skills in the financial industry, paving the way for a rewarding career. Whether you're a budding financial professional or seeking career advancement, this course will empower you with the knowledge and skills needed to excel in the securities industry.

## 2. Pre-Assessment

Pre-Assessment lets you identify the areas for improvement before you start your prep. It determines what students know about a topic before it is taught and identifies areas for improvement with question assessment before beginning the course.

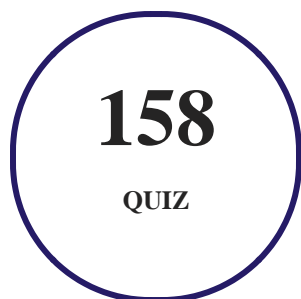
## 3. Exercises

There is no limit to the number of times learners can attempt these. Exercises come with detailed remediation, which ensures that learners are confident on the topic before proceeding.



## 4. Quiz

Quizzes test your knowledge on the topics of the exam when you go through the course material. There is no limit to the number of times you can attempt it.



## 5. Expert Instructor-Led Training

uCertify uses the content from the finest publishers and only the IT industry's finest instructors. They have a minimum of 15 years real-world experience and are subject matter experts in their fields. Unlike a live class, you can study at your own pace. This creates a personal learning experience and gives you all the benefit of hands-on training with the flexibility of doing it around your schedule 24/7.

## 6. ADA Compliant & JAWS Compatible Platform

uCertify course and labs are ADA (Americans with Disability Act) compliant. It is now more accessible to students with features such as:

- Change the font, size, and color of the content of the course
- Text-to-speech, reads the text into spoken words
- Interactive videos, how-tos videos come with transcripts and voice-over
- Interactive transcripts, each word is clickable. Students can clip a specific part of the video by clicking on a word or a portion of the text.

JAWS (Job Access with Speech) is a computer screen reader program for Microsoft Windows that reads the screen either with a text-to-speech output or by a Refreshable Braille display. Student can easily navigate uCertify course using JAWS shortcut keys.

## 7. State of the Art Educator Tools

uCertify knows the importance of instructors and provide tools to help them do their job effectively. Instructors are able to clone and customize course. Do ability grouping. Create sections. Design grade scale and grade formula. Create and schedule assessments. Educators can also move a student from self-paced to mentor-guided to instructor-led mode in three clicks.

## 8. Award Winning Learning Platform (LMS)

uCertify has developed an award winning, highly interactive yet simple to use platform. The SIIA CODiE Awards is the only peer-reviewed program to showcase business and education technology's finest products and services. Since 1986, thousands of products, services and solutions have been recognized for achieving excellence. uCertify has won CODiE awards consecutively for last 7 years:

- **2014**

1. Best Postsecondary Learning Solution

- **2015**

1. Best Education Solution
2. Best Virtual Learning Solution
3. Best Student Assessment Solution
4. Best Postsecondary Learning Solution
5. Best Career and Workforce Readiness Solution
6. Best Instructional Solution in Other Curriculum Areas
7. Best Corporate Learning/Workforce Development Solution

- **2016**

1. Best Virtual Learning Solution
2. Best Education Cloud-based Solution
3. Best College and Career Readiness Solution
4. Best Corporate / Workforce Learning Solution
5. Best Postsecondary Learning Content Solution
6. Best Postsecondary LMS or Learning Platform
7. Best Learning Relationship Management Solution

- **2017**

1. Best Overall Education Solution
2. Best Student Assessment Solution
3. Best Corporate/Workforce Learning Solution
4. Best Higher Education LMS or Learning Platform

- **2018**

1. Best Higher Education LMS or Learning Platform
2. Best Instructional Solution in Other Curriculum Areas
3. Best Learning Relationship Management Solution

- **2019**

1. Best Virtual Learning Solution
2. Best Content Authoring Development or Curation Solution
3. Best Higher Education Learning Management Solution (LMS)

- **2020**

1. Best College and Career Readiness Solution
2. Best Cross-Curricular Solution
3. Best Virtual Learning Solution

## 9. Chapter & Lessons

uCertify brings these textbooks to life. It is full of interactive activities that keeps the learner engaged. uCertify brings all available learning resources for a topic in one place so that the learner can efficiently learn without going to multiple places. Challenge questions are also embedded in the chapters so learners can attempt those while they are learning about that particular topic. This helps them grasp the concepts better because they can go over it again right away which improves learning.

Learners can do Flashcards, Exercises, Quizzes and Labs related to each chapter. At the end of every lesson, uCertify courses guide the learners on the path they should follow.

## Syllabus

## Chapter 1: Introduction

- About This Course
- Icons Used in This Course
- Where to Go from Here

## Chapter 2: Introducing the Series 7 Exam

- What Is the Series 7 Exam, Anyway?
- Profiling the Series 7 Exam-Taker
- One's Not Enough: Tackling the Series 63 or Series 66
- Securing Sponsorship and Signing Up
- Taking a Peek at the Tested Topics
- Understanding the Exam Format and Other Exam Details
- Receiving and Evaluating Your Score

## Chapter 3: Preparing for the Series 7 Exam

- Courses and Training Materials: Determining the Best Way to Study
- Outlining Your Series 7 Study Strategy
- Managing Your Study Time Wisely



- Exploring Study Strategies
- Developing Solid Test-Taking Skills
- Knowing When You're Ready

## Chapter 4: Examining and Mastering Question Types

- Familiarizing Yourself with Question Formats
- Shredding the Questions: Tips and Tricks

## Chapter 5: Surviving Test Day

- Composing Yourself the Day Before
- Making the Most of the Morning
- Arriving on the Scene
- Taking the Exam
- Getting the Results: Drum Roll Please ...

## Chapter 6: Underwriting Securities: Bringing New Issues to Market

- Bringing New Issues to the Market
- Reviewing Exemptions

## Chapter 7: Corporate Ownership: Equity Securities

- Beginning with the Basics: Common Stock
- Getting Preferential Treatment: Preferred Stock
- Securities with a Twist

## Chapter 8: Debt Securities: Corporate and U.S. Government Loans

- Tackling Bond Terms, Types, and Traits
- Making Basic Bond Price and Yield Calculations
- Determining the Best Investment: Comparing Bonds
- Exploring U.S. Government Securities
- Playing It Safe: Short-Term Loans or Money Market Instruments
- Structured Products

## Chapter 9: Municipal Bonds: Local Government Securities

- General Obligation Bonds: Backing Bonds with Taxes
- Revenue Bonds: Raising Money for Utilities and Such
- The Primary Market: Bringing New Municipal Bonds to Market
- Examining Other Types of Municipal Bonds on the Test
- Don't Forget Municipal Notes!

- Municipal Fund Securities
- Understanding the Taxes on Municipal Bonds
- Following Municipal Bond Rules
- Gathering More Municipal Bond Info

## Chapter 10: Borrowing Money and Securities: The Long and Short of Margin Accounts

- Getting the Paperwork Out of the Way
- Introducing Long and Short Margin Accounts
- Playing by the Federal Reserve Board's Rules
- Opening a Margin Account: The Initial Requirements
- Calculating Debit and Equity in Long Margin Accounts
- Making Short Work of Calculations in Short Margin Accounts
- Let the Good Times Roll: Handling Excess Equity
- Looking at Limits When the Market Goes the Wrong Way

## Chapter 11: Packaged Securities: Open- and Closed-End Funds and Such

- Diversifying through Management Investment Companies
- Considering Other Investment Company Options
- Reducing Real Estate Risk with REITs

- Adding Annuities to a Portfolio
- Exploring Variable Life and Variable Universal Life Insurance
- Investment Company Rules

## Chapter 12: Direct Participation Programs: Partnerships

- Searching for Identity: What DPPs Are (and Aren't)
- The DPP Characters: General and Limited Partners
- Pushing through Partnership Paperwork
- Types of DPP Offerings
- Passive Income and Losses: Looking at Taxes on Partnerships
- Evaluating Direct Participation Programs

## Chapter 13: Options: The Right to Buy or Sell at a Fixed Price

- Brushing Up on Option Basics
- Incorporating Standard Option Math
- Mastering Complex Option Calculations
- Nonequity Options
- Gaining Additional Option Info

## Chapter 14: Portfolio and Securities Analysis: Examining Companies and the Market

- Knowing Your Customer: Portfolio Analysis
- Knowing Your Securities and Markets: Securities Analysis

## Chapter 15: Going to Market: Orders and Trades

- Shopping at Primary and Secondary Markets
- Making the Trade
- Understanding the Role of a Broker-Dealer
- Receiving Orders from Customers
- Designated Market Maker and the Super Display Course (SDBK)

## Chapter 16: Taxes and Retirement Plans: Making Sure the IRS Gets its Share

- Everything in Its Place: Checking Out Tax and Income Categories
- Noting Taxes on Investments
- Presenting Gift and Estate Tax Rules
- Exploring Retirement Plans

## Chapter 17: Rules and Regulations: No Fooling Around

- The Market Watchdogs: Securities Regulatory Organizations

- Following Protocol When Opening Accounts
- Trading by the Course When the Account Is Open
- Committing Other Important Rules to Memory

## Chapter 18: Ten Series 7 Exam Traps to Avoid

- Easing Up on the Studying
- Assuming the Question's Intent
- Reading into the Question
- Becoming Distracted When Others Finish
- Not Dressing for Comfort
- Forgetting to Breathe
- Trying to Work Out Equations in Your Head Instead of Writing Them Down
- Spending Too Much Time on One Question
- Changing Your Answers for the Wrong Reasons
- Calculating Your Final Score Prematurely

## Chapter 19: Ten Ways to Start Your Career Off Right

- Win at the Numbers Game

- Be an Apprentice
- Do Your Homework
- Treat the Minnow like a Whale
- Smile When You Dial
- When a Security Goes the Wrong Direction, Don't Be a Stranger
- Put In the Hours
- Broaden Your Horizons
- Pay Yourself First
- Set Some Goals: The Brass Ring

## 10. Practice Test

**Here's what you get**

**125**

PRE-ASSESSMENTS  
QUESTIONS

**4**

FULL LENGTH TESTS

**125**

POST-ASSESSMENTS  
QUESTIONS

**Features**

Each question comes with detailed remediation explaining not only why an answer option is correct but also why it is incorrect.

### Unlimited Practice

Each test can be taken unlimited number of times until the learner feels they are prepared. Learner can review the test and read detailed remediation. Detailed test history is also available.

Each test set comes with learn, test and review modes. In learn mode, learners will attempt a question and will get immediate feedback and complete remediation as they move on to the next question. In test mode, learners can take a timed test simulating the actual exam conditions. In review mode, learners can read through one item at a time without attempting it.

## 11. Post-Assessment

After completion of the uCertify course Post-Assessments are given to students and often used in conjunction with a Pre-Assessment to measure their achievement and the effectiveness of the exam.

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