

Series 63 Exam: Uniform Securities Agent State Law Exam

Free 10-Q Diagnostic ->

Official Body: NASAA (administered by FINRA) | Syllabus: 2026 NASAA Specifications

Passing Standard: 72% (43 correct out of 60 scored questions)

Format & Timing: 65 Multiple Choice Questions (60 scored + 5 unscored pretest). Total 1 hour 15 minutes. (Prometric)

Testing Windows: Continuous testing year-round

1. OFFICIAL 2026 BLUEPRINT DOMAINS & WEIGHTINGS

S63-1: Regulation of Investment Advisers and Investment Adviser Representa

Weight: 10% (6 Qs)

Definition of Investment Adviser and Exclusions, State vs. Federal Covered Investment Adviser Notice Filing, Investment Adviser Representative Registration and Exclusions

S63-2: Regulation of Broker-Dealers

Weight: 12% (7 Qs)

Definition of Broker-Dealer and Statutory Exclusions, Broker-Dealer Registration Requirements, Net Capital, and Bonding, Post-Registration Books, Records, and Financial Reporting

S63-3: Regulation of Agents of Broker-Dealers

Weight: 13% (8 Qs)

Definition of Agent and Statutory Exclusions, Agent Registration Procedures, Form U4, and Effective Dates, Dual Registration, Termination of Employment (Form U5)

S63-4: Regulation of Securities and Issuers

Weight: 9% (5 Qs)

Definition of Security and Excluded Assets, State Registration Methods: Notice Filing, Coordination, Qualification, Exempt Securities and Exempt Transactions under Uniform Securities Act

S63-5: Remedies and Administrative Provisions

Weight: 11% (7 Qs)

State Administrator Authority, Investigations, and Subpoenas, Summary Orders, Cease-and-Desist, and Denial/Revocation Proceedings, Civil Liabilities, Right of Rescission, and Criminal Penalties

S63-6: Communication with Customers and Prospects & Ethical Practices and

Weight: 45% (27 Qs)

Suitability, Written Disclosures, and Conflicts of Interest, Prohibited Conduct: Market Manipulation, Insider Trading, Churning, Borrowing From/Lending To Clients, Commingling, and Custody, Discretionary Authority, Sharing in Accounts, and Guaranteeing Against Loss

2. PRIMARY STATUTORY & REGULATORY AUTHORITIES TESTED

*** Uniform Securities Act (USA) - USA Sec. 101 (Anti-fraud), Sec. 201 (Agent registration), Sec.**

Statutory basis for state registration of securities agents and anti-fraud enforcement

3. EXAMINER TRAPS & HIGH-YIELD PASS STRATEGY

Key Challenge: Pure legal memorization under tight time constraints (75 minutes for 65 questions).

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