

MEMO# 1535

November 10, 1989

AMENDMENTS TO SERIES 6 EXAMINATION AND STUDY OUTLINE

November 10, 1989 TO: SEC RULES COMMITTEE NO. 71-89 BROKER/DEALER ADVISORY
COMMITTEE NO. 52-89 RE: AMENDMENTS TO SERIES 6 EXAMINATION AND STUDY OUTLINE

The NASD has recently amended the examination specifications and study outline for the Series 6 qualifications examination required to be taken by persons seeking to sell shares of mutual funds, closed-end funds and variable insurance contracts. As stated in the attached NASD Notice to Members, the changes become effective January 1, 1990. The amendments update the sections on taxation, retirement plans, and industry regulations, add material covering new regulations and products, including variable life insurance and Section 12b-1 contingent/deferred sales charges, and segregate material pertaining to advertising rules into one section. Amy B. Rosenblum Assistant General Counsel Attachment

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