

KNOPMAN
FINANCIAL TRAINING®

2012 PRODUCT CATALOG

Knopman 2012

At Knopman Financial Training we are excited to be offering a number of new products for various exams in 2012, which will allow you to achieve industry leading pass rates by utilizing our services.

The New Knopman.com puts students and administrators in control of their own prep like never before. Our site was designed with you in mind. Now you can order materials & enroll students the way you need to. Plus, Knopman students will now have access to **My Knopman** - a portal created just for them. With My Knopman, students can seamlessly access all of their training resources in one spot.

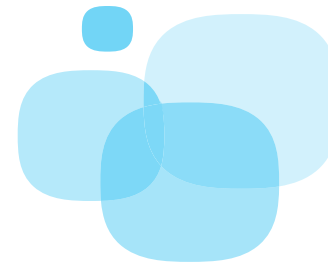
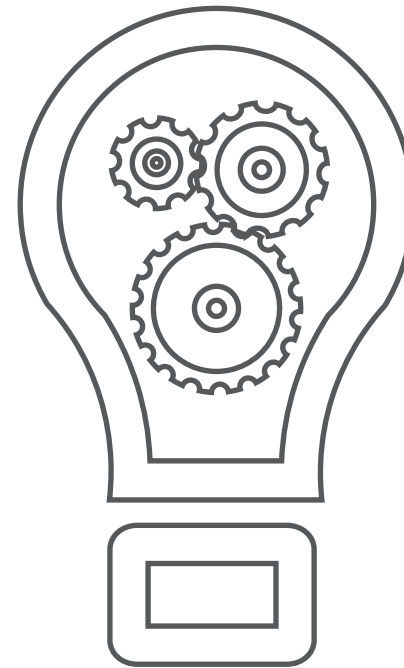
Our Mobile Apps are taking training to a whole new level. Students can access On-Demand Training, Quizzes & Flashcards from their iPhone or iPad. Students don't have to choose between online & mobile training anymore.

Series 99 Material is now available. With the Operations Professional Qualification Exam now a reality, Knopman has prepared our 1st edition textbook. In addition to the book, we have more than 1,000 practice questions and offer classes, both live and On-Demand.

Knopman 2.0

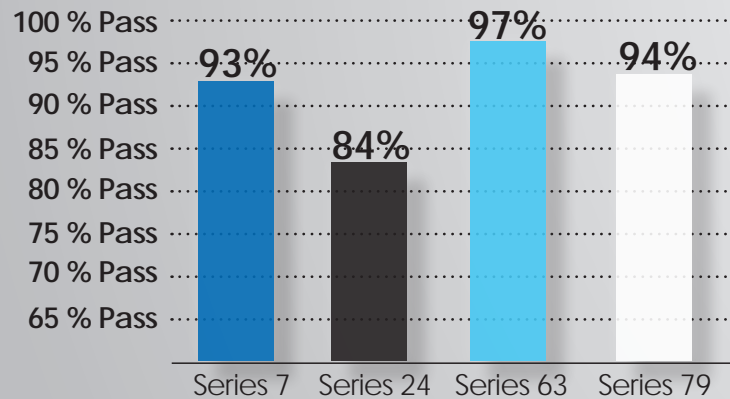
Mobile Apps

Series 99 Exam



Leaders in FINRA Exam Prep

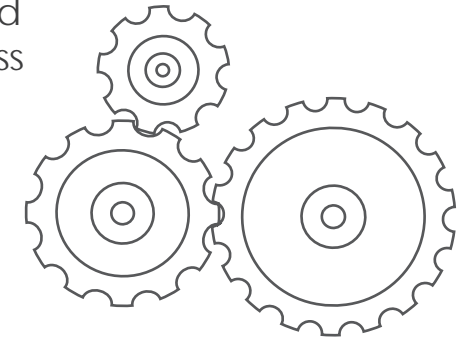
We design **Custom Training Solutions** that fit the way you like to learn, accommodate your schedule, and adapt to the way your firm conducts business.



2011 PASS RATES



Knopman Financial Training is a leader in **FINRA Licensing Exam preparation**. Using the extensive industry experience of professionals within our company, we provide our clients with a superior range of services that are of the highest quality and integrity. At Knopman, we leverage new technologies to provide best-in-class training through both traditional classroom settings and digital media.



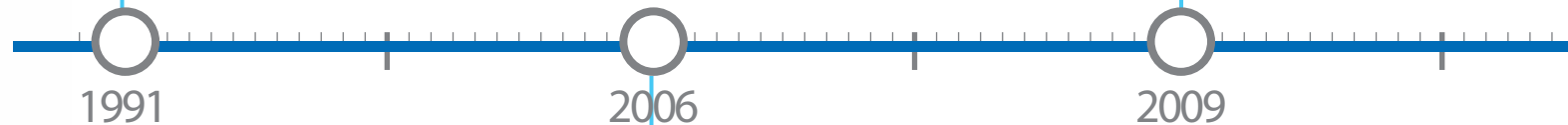
BEST CHOICE

JUL
1991

Knopman Financial Training was established by Harvey Knopman. Mr. Knopman is the longest tenured instructor in the industry, and has prepared over 85,000 students for the various licensing examinations, 95% of whom passed on their first attempt.

MAY
2009

Knopman Financial Training released the Series 79 Exam manual. This material, coupled with our comprehensive training, set the bar for industry pass-rates on the Series 79 Examination.



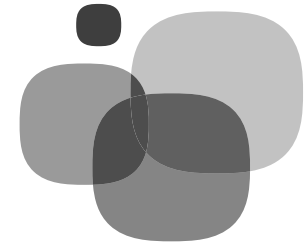
The firm introduced Knopman Internet Training (the KIT), the first series of On-Demand, streaming PowerPoint lectures for FINRA examinations. Immediately following the KIT, the firm published iPass and Video iPass (VIP) which allows the download of audio lectures and video presentations to iPhones, iPads and other mobile devices.

MAR
2006



Harvey Knopman
President and Founder

Domestic and global financial institutions have come to rely on our training methodologies, our knowledgeable and experienced instructors, as well as our cost-effective programs to assist in their training and development needs. **We become a partner with our clients**, providing a seamless and integral extension of their firm, enhancing the intellectual capital within. This is achieved by our consistently high success rates, the thorough follow-up we provide on each student's progress and our superior customer service.



APR
2010

Brian Marks became a partner of Knopman Financial Training. Mr. Marks dedicates his time and expertise to help Knopman students meet their goals in passing the various licensing examinations.

JAN
2012

Knopman launches iPhone and iPad Apps, seamlessly integrating instruction, flashcards and practice questions through an innovative one-of-a-kind solution.

2010

2011

2012

Knopman Financial Training celebrated its 20th anniversary.

JUL
2011

Brian Marks
Managing Director



Learning Formats

Customize your Exam Prep

Live Classroom Instruction:

Learn from our expert instructors during regularly scheduled classes – conducted during the day and evening at our NYC training facility. Our programs will teach you to master the financial concepts required to pass your exam. A unique approach to financial training, coupled with renowned teachers that promote classroom interaction and dialogue, consistently results in industry-leading pass rates for our programs.

Knopman Internet Training (The KIT):

Study on your own schedule, with Knopman’s Internet Training tool. A dynamic ELearning system, the KIT is taught by the same expert instructors as our live classes, covers the same content, and displays corresponding class slides for easy note taking. Ask questions by phone or email & get personalized help. Learn at your own leisure, with the same proven results Knopman has produced for over 20 years.

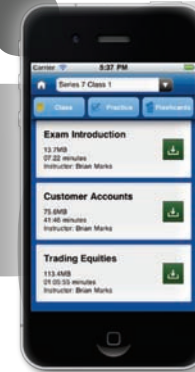
Mobile Apps:

Knopman is the first and only financial training company that provides complete learning apps available on both iPhones and iPads. In one downloadable app, you can master exam material with instructor-led training, flash cards, and quizzes. You will be able to access On-Demand classes, as well as brand new study material no matter where you are. The app will link to your “My Knopman” account to access your available programs.

Live Classroom

Internet Training

Mobile Apps



On-Site Custom Design Instruction:

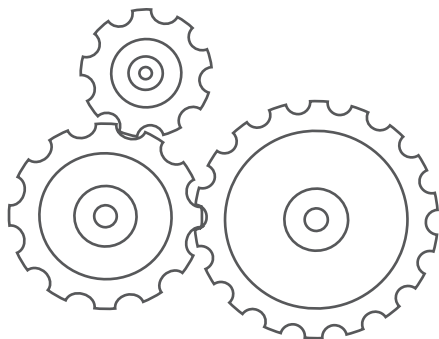
To accommodate our clients' special requirements, we can custom design all of our study programs and deliver them on-site. Classes of various duration can be arranged during the day, in the evening, or on weekends.

Capital Markets Graduate Training Programs:

Capital Markets Graduate Training Programs can be designed and executed for investment banks of all sizes. These in-depth programs focus on the preparation for the various licensing examinations required. This training provides incoming employees at the Analyst and Associate levels with the industry's best integrated license exam preparation, providing: classroom training, online exams and reviews, and diagnostic evaluations of test scores.

Private Tutoring

We have also enjoyed great success in creating one-on-one study programs providing individualized instruction for all of our course offerings. Private tutoring is often useful for senior executives or other employees whose schedules do not correspond with our classroom sessions. Students who require more insight are also able to take advantage of this option.



[On-Site Classes](#)

[Grad Training](#)

[Private Tutoring](#)

Digital Training

Digital Training packages offer access to **both** Knopman Internet Training (the KIT) + the Knopman App.

Knopman Internet Training (the KIT) is our series of online training classes. The KIT is On-Demand, so you can log in any time and sit through the classes at your leisure, as much or as little as you need to. Our On-Demand training leverages the same content and oral instruction from our classroom settings. It can be taken as a substitute for a live class or in addition, to reinforce previously learned concepts.

- » Receive instant access to The KIT after purchase
- » The KIT consists of streaming On-Demand PowerPoint presentations
- » Access expires 1 year after you begin watching
- » Download slide handouts for easy note taking
- » Ask questions via phone or email



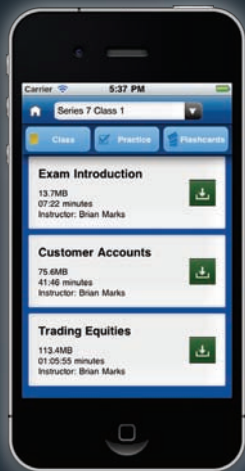
Series 7

Series 24

Series 63

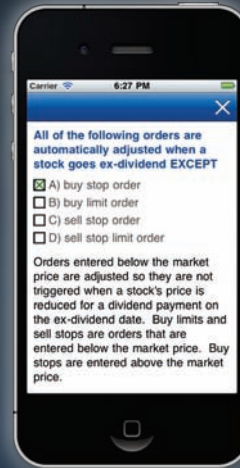
Series 79

The Knopman App combines 3 essential components to help you prepare for your FINRA exam, right from your **iPhone or iPad**.



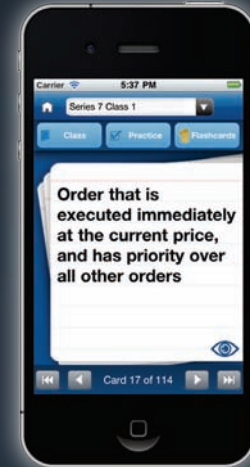
1. On-Demand Training

The first step in your FINRA Exam prep is to learn the material. The Knopman App includes hours of detailed lectures for each Exam we offer. Our On-Demand Training covers the same content that we teach in our live classes & is taught by the same instructors. These classes cover the most difficult & heavily tested concepts on the FINRA Exams.



2. Practice Q & A

The app contains practice quizzes for each class. Test your knowledge of the content and review detailed questions with explanations. These current and regularly updated questions are specifically tailored to address the most important and challenging content on the examinations.



3. Flashcards

Enhance your prep with Flashcards. Each unit has its own set of flashcards to help you reinforce the topics you've learned. Think you mastered the concepts? Shuffle the deck and run through them again.

Series 3

National Commodity Futures

The Series 3 Exam is required by the commodities exchanges for individuals who will trade or sell futures contracts or options on futures.

- » The 2 hour and 30 minute exam consists of 120 questions on market knowledge and rules and regulations
- » A passing score of 70% is required on each section

Series 4

Registered Options Principal

The Series 4 Exam is required of individuals functioning as options principals or compliance registered options principals.

- » The 3 hour exam consists of 125 questions
- » The passing score is 70%

Series 6

Investment Co. & Variable Contract Representatives

The Series 6 Exam is required for individuals who will sell only investment company shares and variable contracts.

- » The 2 hour and 15 minute exam consists of 100 questions
- » The passing score is 70%

Series 7

General Securities Representative

Upon passing the Series 7 Exam, an individual is registered to solicit, purchase and/or sell corporate securities, options, direct participation programs, investment company products, variable contracts and other securities.

- » The 6 hour exam consists of 250 multiple-choice questions, administered in two parts of 125 questions each
- » The passing score is 72%

Standard Package
\$ 350.00

Standard Package
\$ 400.00

Standard Package
\$ 250.00

Standard Package
\$ 435.00

INCLUDES

- Series 3 License Exam Manual
- QBank for online & print exams
- Choice of training:
Live Classroom Instruction or
Knopman Internet Training (KIT)
- Access to an Instructor
- Access to My Knopman

INCLUDES

- Series 4 License Exam Manual
- QBank for online & print exams
- Live Classroom Instruction
- Access to an Instructor
- Access to My Knopman

INCLUDES

- Series 6 License Exam Manual
- QBank for online & print exams
- Knopman Internet Training (KIT)
- Access to an Instructor
- Access to My Knopman

INCLUDES

- Series 7 License Exam Manual
- QBank for online & print exams
- Diagnostic exams & supplements
- Choice of training:
Live Classroom Instruction or
Digital Training (KIT + the App)
- Access to an Instructor
- Access to My Knopman

Series 9

General Securities Sales Supervisor

The Series 9 Exam is required of individuals who supervise sales activities in options.

- » Series 9 represents the options section of the exam
- » The 90 minute exam consists of 55 questions
- » The passing score is 70%

Series 10

General Securities Sales Supervisor

The Series 10 Exam is required of individuals who supervise sales activities in corporate, municipal, and U.S. government securities, direct participation programs, investment company products, and variable contracts.

- » Series 10 represents the rules and regs section of the exam
- » The 4 hour exam consists of 145 questions
- » The passing score is 70%

Series 17

Limited Registered Representative

The Series 17 Exam is available to individuals who have completed the U.K.'s General Registered Representative Examination. It tests the majority of, but not all of the concepts that are tested on the Series 7 Examination.

- » The 2 hour exam consists of 100 questions
- » The passing score is 72%

Series 24

General Securities Principal

The Series 24 Exam is required of individuals responsible for the management or supervision of a firm's investment banking or securities business.

- » The 3 and a half hour exam consists of 150 questions
- » The passing score is 70%

Standard Package
\$ 300.00

INCLUDES

- Series 9 License Exam Manual
- QBank for online & print exams
- Live Classroom Instruction
- Access to an Instructor
- Access to My Knopman

Standard Package
\$ 450.00

INCLUDES

- Series 10 License Exam Manual
- QBank for online & print exams
- Live Classroom Instruction
- Access to an Instructor
- Access to My Knopman

Standard Package
\$ 435.00

INCLUDES

- Series 7 License Exam Manual
- QBank for online & print exams
- Choice of training: Live Classroom Instruction or Knopman Internet Training (KIT)
- Access to an Instructor
- Access to My Knopman

Standard Package
\$ 500.00

INCLUDES

- Series 24 License Exam Manual
- QBank for online & print exams
- Various supplements
- Choice of training: Live Classroom Instruction or Digital Training (KIT + the App)
- Access to an Instructor
- Access to My Knopman

Series 53

Municipal Securities Principal

The Series 53 Exam is required of individuals who as principals will supervise the activities of municipal securities representatives.

- » The 3 hour exam consists of 100 questions
- » The passing score is 70%

Series 55

Limited Representative – Equity Trader

The Series 55 Exam is required of individuals who trade equity or convertible debt securities on a principal or agency basis.

- » The 3 hour exam consists of 100 questions
- » The passing score is 70%

Series 63

Uniform Securities Agent State Law

The Series 63 Exam is required of individuals soliciting the purchase or sale of corporate securities within a state. The exam may be required in addition to other exams

- » The 75 minute exam consists of 60 questions
- » The passing score is 72%

Series 65

Investment Adviser State Law

The Series 65 Exam is required of individuals acting as or soliciting for the service of investment advisers. The exam may be required in addition to other exams.

- » The 3 hour exam consists of 130 questions
- » The passing score is 75%

Standard Package
\$ 400.00

Standard Package
\$ 225.00

Standard Package
\$ 135.00

Standard Package
\$ 300.00

INCLUDES

- Series 53 License Exam Manual
- QBank for online & print exams
- Various Supplements
- Live Classroom Instruction
- Access to an instructor
- Access to My Knopman

INCLUDES

- Knopman Internet Training (KIT)
- Materials & Exams NOT included
- Various Supplements
- Access to an Instructor
- Access to My Knopman

INCLUDES

- Series 63 License Exam Manual
- QBank for online & print exams
- Various supplements
- Choice of training:
Live Classroom Instruction or
Digital Training (KIT + the App)
- Access to an Instructor
- Access to My Knopman

INCLUDES

- Series 65 License Exam Manual
- QBank for online & print exams
- Various Supplements
- Live Classroom Instruction
- Access to an instructor
- Access to My Knopman

Series 66

Uniform Combined State Law

The Series 66 Exam is required of individuals acting as or soliciting for the services of investment advisers and soliciting the purchase or sale of securities within a state. The Series 66 exam fulfills the requirements of both the Series 63 and Series 65 exams.

- » The 2 hour, 30 minute exam consists of 100 questions
- » The passing score is 75%

Series 79

Limited Representative - Investment Banking Exam

The Series 79 Exam qualifies an individual to advise on or facilitate debt or equity offerings through a private placement or public offering or to advise or facilitate mergers or acquisitions, tender offers, financial restructurings, asset sales, divestitures or other corporate reorganizations or business combination transactions.

- » The 5 hour exam consists of 175 questions
- » The passing score is 73%

Series 99

Operations Professional

Individuals registering as an Operations Professional (OS) are required to pass the new exam, Series 99. The exam is designed to test a candidate's broad understanding and basic knowledge of broker-dealer functions.

- » The 2 hour, 30 minute exam consists of 100 questions
- » The passing score is 70%

How to Order:

www.knopman.com

Call Us:

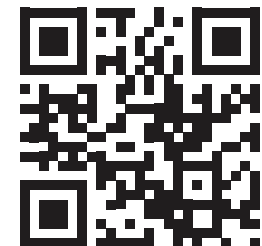
1.877.SERIES.7

212.626.6899

Email Us:

material@knopman.com

Visual Search:



Standard Package
\$ 300.00

INCLUDES

- Series 66 License Exam Manual
- QBank for online & print exams
- Various supplements
- Choice of training:
Live Classroom Instruction or
Knopman Internet Training (KIT)
- Access to an Instructor
- Access to My Knopman

Standard Package
\$ 550.00

INCLUDES

- Series 79 License Exam Manual
- Online Question Bank with over 2,000 practice questions
- Exhibit Book
- Diagnostic exams & supplements
- Choice of training:
Live Classroom Instruction or
Digital Training (KIT + the App)
- Access to an Instructor
- Access to My Knopman

Standard Package
\$ 379.00

INCLUDES

- Series 99 License Exam Manual
- Online Question Bank with over 1,000 practice questions
- Various Supplements
- Choice of training:
Live Classroom Instruction or
Knopman Internet Training (KIT)
- Access to an Instructor
- Access to My Knopman

My Knopman

Every Training package includes access to a My Knopman Account.



Enroll
in live classes to learn



Access
Online Training including class
videos and lectures



Download
Class slides and handouts



Stay Current
Access additional support
and updates

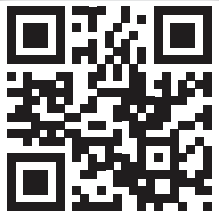


FAQs
Get study tips from
our instructors



Schedule
Create a study calendar
and set milestones

Sharing Our Knowledge. **Achieving Your Goals.**



KNOPMAN Financial Training

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New York, NY 10036

Contact us: 1.877.SERIES 7 or 212.626.6899
info@knopman.com - www.knopman.com