

# Securities Licensing



2007–2008  
November–March

New Mexico

**KAPLAN** FINANCIAL

# Kaplan Financial Equips You To Be a Financial Services Professional

## Securities

In order to sell stocks, bonds, mutual funds, and variable annuity products, a person must be registered with the Financial Industry Regulatory Authority (FINRA®). While there is no mandatory education, many candidates lack the necessary experience in the securities industry to pass the required series examinations without prior preparation.

Kaplan Financial delivers exam prep courseware to match adult learning styles and to help busy professionals prepare to pass the securities exams—the first time. We recommend a classroom learning environment with teacher and peer interaction and we offer the largest national classroom network, with classes held in most major U.S. metro centers.

For candidates without access to a traditional class, Kaplan offers virtual classes, which are live classes delivered via the internet. Our virtual and traditional classroom offerings feature Kaplan’s signature, experienced instructors who deliver engaging, exam-focused training. Current, user-friendly, course materials feature numerous examples and exercises to help maximize retention and a variety of study tips to help candidates prepare to pass the exams the first time. Kaplan also offers practice test banks and correlated exams that simulate the actual exam experience in degree of difficulty and topic coverage.

## Kaplan for Life

Once you have earned your insurance license or securities registration, Kaplan Financial will be your education partner for life. You can select from a robust library of continuing education on every subject. And, we partner with most of the largest financial services companies in the country to provide their employees with training and to maintain compliance within their field.

So whether you are looking to add another license, renew an existing one, or obtain an advanced designation in your field, look to Kaplan Financial for your professional training needs. CERTIFIED FINANCIAL PLANNER™ programs are just one of the ways professionals are making themselves more valuable to their clients, and Kaplan Financial has a robust program to assist you in earning your CFP® certification.

## Your satisfaction is guaranteed!

### Product Exchange and Return Policy

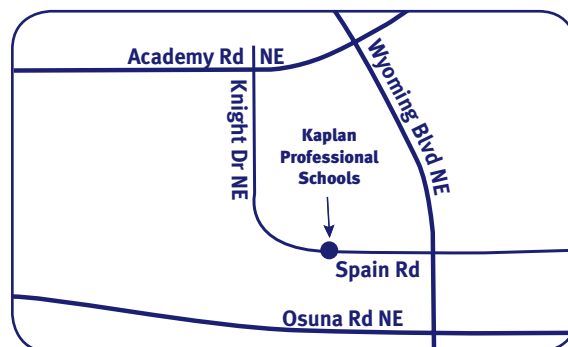
If for any reason you need to return materials, you can do so within 30 days of purchase. Returned materials must be in a usable, unmarked condition. Software is not returnable after it has been opened.

## Campus Location

### Albuquerque

#### Kaplan Professional Schools

8205 Spain Rd. NE, Ste. 109, Albuquerque



## Table of Contents

page

Securities Virtual Classes.....	3
Exam Prep Schedule .....	4
Self-Study Courses and Study Aids.....	5
CFP® Certification Exam Prep .....	6
Enrollment Form .....	7

*“The course provided the exact preparation that I needed. The instructor was excellent.”*

—Gene Wittorf

*“It is definitely worth it. The class focuses on what you need to know for the test . . . Our instructor was awesome!”*

—Rebecca Reyes

# Study Anywhere, Anytime with Kaplan's Virtual Classes for Securities Licensing Exam Prep

## Kaplan Financial Has a Solution for You!

Kaplan's virtual class experience is an Internet-delivered alternative for a traditional class, ideal for exam candidates in remote areas who do not have access to a live class. Available for Series 6, 7, 26, 63, 65, 66, and Series 6 Bilingual Spanish, these interactive virtual classes feature the same engaging Kaplan Financial instructors that our traditional classes do.

### Why partner with Kaplan Financial?

Candidates prepare to pass the exams the first time with all the benefits of our signature live classes. Corporate managers are empowered to deliver high-quality, consistent programs that help candidates get to market and produce revenue more quickly, while saving time and boosting productivity.

## Solution Overview

Our new, innovative virtual class experience engages learners from the moment the class begins. Expert instructors present the material live while learners follow along with a PowerPoint® presentation and Student Notebook. Frequent interactive opportunities throughout each presentation engage learners and help to maximize retention of critical concepts. Students can ask questions by raising their hand and speaking through their headset microphone or by sending a question through private text chat to the instructor or to the entire class.

### Key Features

**Outstanding instructors** deliver an engaging and interactive learning experience.

**Frequent comprehension checks**, test prep questions, test tips, and assessments give learners the edge in testing skill.

**Continual opportunities** for learner feedback and comments encourage participation, including yes/no polls, hand claps, and text chats.

**Sharp graphics** illustrate key concepts for maximum retention.

**Recorded class playbacks** provide an unlimited opportunity to review and reinforce key concepts for 45 days after class.

**Knowledge Center** offers fingertip access to a comprehensive suite of support resources, including the following:

- Daily study calendar
- Assignments
- Class resources
- Links to Audio Reviews and diagnostic exams

## Headset Offer

For complete interactivity with the instructor and others attending the virtual class, we offer a headset with built-in microphone for only \$19. Order when you enroll in class.

## Virtual Class Materials



### License Exam Study Manual

An exam-focused study manual complete with current content, interactive exercises, Quick Quizzes, and Test Topic Alerts.

### Drill & Practice Test Bank (CD)

Learners will sharpen test-taking skills and increase comprehension with this easy-to-use, robust database of test questions that enables learners to customize practice exams. It contains detailed rationales and practice final exams that simulate the actual exam in proportional topic and weighting.



### Student Notebook

A concise, easy-to-use tool that includes important study notes and highlights critical exam-focused content. This resource provides a convenient note-taking opportunity for organized, post-class review.

### Enrichment Exams

This concise collection showcases practice questions built on the most newly tested topics and is frequently updated to address the latest regulations and testable concepts. It is strongly recommended that learners carefully review all Enrichment Exam questions and rationales before testing to ensure the best possible exam performance.

## Optional Study Tools—Call for Pricing

### Mastery Exam

Learners test exam readiness with this predictive exam experience that gives a final reading of areas of strength and weakness. Designed and rigorously field tested to simulate the exam in topic coverage and degree of difficulty, this exam is an outstanding follow-up for self-study, classroom or virtual classroom courses.

### Audio Review—(CD format)

Audio Review is an excellent add-on study tool, reinforcing the most testable points presented in Kaplan Financial's study materials. It provides an overview of the most critical information from each lesson in audio CD format.

## Support Services

**Guided Study Calendar** features recommended daily study activities that follow Kaplan Financial's proven study system.

**Instructor Chat** before each daily class session.

**AnswerPhone<sup>SM</sup>** connects learners to Kaplan Financial's team of subject matter experts for assistance in mastering material.

Call 1-800-570-9235 for more information about our virtual securities classes!

# Securities Exam Preparation Class Schedule

Class and Information	Location	Nov	Dec	Jan	Feb	Mar
<b>Series 6</b> <b>Investment Company Products/Variable Contracts Limited Representative:</b> Required of individuals soliciting the purchase or sale of redeemable securities (mutual funds), variable contracts (variable annuities) and insurance premium funding programs (variable life) issued by insurance companies. Class with materials: \$239      Class only: \$169 Class length: 3 days              8:30 am–5:00 pm	Albuquerque, NM	5–7		14–16		10–12
Class with materials: \$219 Class length: 4 days W=Weekend, 2 days <b>New! Bilingual Virtual Series 6 Class in Spanish!</b> B=Bilingual	VIRTUAL CLASS	5–8B 12–15 10–11W	3–6B 10–13 8–9W	7–10B 14–17 5–6W	4–7B 11–14 2–3W	3–6B 10–13 1–2W
<b>Series 63</b> <b>Uniform Securities Agent State Law Exam:</b> Required of individuals soliciting the purchase or sale of securities within a state. The exam may be required in addition to other exams. Class with materials: \$89      Class only: \$69 Class length: 1 day              1:00 pm–5:00 pm	Albuquerque, NM	7		16		12
Class with materials: \$79      12:00 pm–2:30 pm ET and Class length: 1 day              3:30 pm–5:30 pm ET W=Weekend, 1 day              11:00 am–3:30 pm ET	VIRTUAL CLASS	16 17W	14 15W	18 12W	15 9W	14 8W
<b>Series 7</b> <b>General Securities Representative:</b> Required of individuals soliciting the purchase or sale of corporate, municipal and U.S. government securities, options, direct participation programs, investment company products and variable contracts. Class with materials: \$419      Class only: \$299 Class length: 5 days              8:30 am–5:00 pm	Albuquerque, NM		3–7		4–8	
Class with materials: \$419      9:00 am–12:30 pm ET and Class length: 5 days              1:30 pm–4:30 pm ET E = 8 days, Tue & Thu              6:00 pm–9:30 pm ET	VIRTUAL CLASS	6–Dec 4E 26–30	17–21	8–31E 7–11 28–Feb 1	5–28E 11–15 25–29	4–27E 10–14 24–28
<b>Series 65</b> <b>Uniform Investment Advisor Exam:</b> Required of individuals acting as or soliciting for the service of investment advisers. This exam may be required in addition to other exams. Class with materials: \$229 Class length: 3 days              12:00 pm–5:00 pm ET	VIRTUAL CLASS	7–9 28–30	5–7	9–11	6–8	5–7
<b>Series 66</b> <b>Uniform Combined State Law Exam (equivalent of S–63 plus S–65):</b> Required of individuals acting as or soliciting for the service of investment advisers and soliciting the purchase or sale of securities within a state. Fulfills the requirements of both the Series 63 and Series 65. Class with materials: \$199 Class length: 2 days              12:30 pm–5:00 pm ET	VIRTUAL CLASS	5–6 26–27	3–4	7–8	4–5	3–4 31–Apr 1
<b>Series 26</b> <b>Investment Company Products/Variable Contracts Limited Principal:</b> Required of individuals, who will supervise individuals soliciting the purchase or sale of redeemable securities, variable contracts and insurance premium funding programs issued by insurance companies. Class with materials: \$349      2:00 pm–5:00 pm ET Class length: 4 days	VIRTUAL CLASS	12–15	10–13	21–24	25–28	17–20

# Securities Licensing Self-Study Courses and Study Aids

Series	Options	Price	Series	Options	Price
Series 6	Manual with Drill & Practice (online or CD) .....	\$139	Series 3	Manual with Drill & Practice (online or CD) .....	\$199
	Complete Online Course—includes Online Manual and Online Drill & Practice ...	\$139	Series 4	Manual with Drill & Practice (online or CD) .....	\$229
	Audio Review CD .....	\$39	Series 9	Manual with Drill & Practice (online or CD) .....	\$109
Series 7	Manual with Drill & Practice (online or CD) .....	\$249	Series 10	Manual with Drill & Practice (online or CD) .....	\$259
	Complete Online Course—includes Online Manual and Online Drill & Practice ...	\$249	Series 24	Manual with Drill & Practice (online or CD) .....	\$249
	Audio Review CD .....	\$39		Audio Review CD .....	\$39
Series 63	Manual with Drill & Practice (online or CD) .....	\$49	Series 26	Manual with Drill & Practice Test Bank (online or CD) .....	\$189
	Complete Online Course—includes Online Manual and Online Drill & Practice ....	\$49		Audio Review CD .....	\$39
	Audio Review CD .....	\$39	Series 27/28	Manual with Drill & Practice (online or CD) .....	\$309
Series 65	Manual with Drill & Practice (online or CD) .....	\$149	Series 31	Manual with Drill & Practice (online or CD) .....	\$99
	Audio Review CD .....	\$39	Series 51	Manual with Drill & Practice (online or CD) .....	\$129
Series 66	Manual with Drill & Practice (online or CD) .....	\$139	Series 53	Manual with Drill & Practice (online or CD) .....	\$229
	Audio Review CD .....	\$39	Series 55	Manual with Drill & Practice (online or CD) .....	\$189

## Kaplan Financial Self-Study Exam Preparation

Includes the interactive Study Manual and Drill & Practice CD. The Drill & Practice CD contains a database of exam-focused questions from which students can create an unlimited number of practice exams. Exams are proportional in topic and weight to the actual exam. Most sets include print exams.



## Online Courses for Series 7, 6, and 63

Our courses for Series 7, 6, and 63 offers students a fully interactive and engaging study experience in an online environment. Each course features an online study manual with clearly defined learning objectives, alerts for highly testable subjects, audio clips to reinforce learning, bookmarking, Quick Quizzes, an unlimited number of customizable practice exams, and a final exam that simulates the actual testing experience.



## Audio Review—CD

Audio Review is an excellent add-on study tool, reinforcing the most testable points presented in Kaplan Financial's study materials. It provides an overview of the most critical information from each lesson in audio CD format.



## 2007 Pocket Tables .....\$47.50 per packet

Be the first to inform your clients of new tax rate and benefit schedules in 2007 by providing them with Kaplan Financial's 2007 Pocket Tables. It is a quick tax reference tool they will value and keep throughout the year. It covers major changes in the tax landscape that become effective for the first time in 2007. Pocket Tables content is prepared by an experienced editorial staff of highly qualified legal and tax professionals. Attach your business card or imprint your company name and use as a promotional mailer to your clients and centers of influence. The retail price reflects one packet of 50 Pocket Table brochures.

# Sit for the November 2008 CFP® Certification Examination

Classes begin as early as January 2008 for the November 2008 exam cycle. Kaplan Financial offers three high-quality, CFP Board-registered programs to help your associates obtain the required education to sit for the CFP® Certification Examination. Choose from one of the following programs:

- Accelerated Certificate in Financial Planning
- Executive Certificate in Financial Planning
- Online Certificate in Financial Planning

## Why Pursue CFP® Certification?

- Establish your credibility and grow your book of business with CFP® Certification.
- The first year of CFP® Certification delivers an average jump of 40% in earnings to advisors.\*
- CFP Board research shows that consumers increasingly rely on credentials when selecting a financial adviser.

### Accelerated Certificate in Financial Planning

This CFP Board-Registered Program blends a highly effective methodology of self-study and classroom instruction for an excellent learning experience. Choose from virtual or traditional classroom programs. Associates can select from classes offered in six major cities across the United States or participate in our innovative Web-based virtual classes.

- **Traditional classroom** combines live instruction with self-study. This accelerated program consists of six courses and can be completed in just nine months—less than half the time required for typical programs.
- **Virtual classroom** is an instructor-led, Web-based program that provides all the benefits of a traditional classroom from the convenience of the learner's home or office or on the road. The playback feature offers a convenient method for making up missed classes or reviewing key lectures. This program, which comprises six courses, can be completed in just nine months.

### Executive Certificate in Financial Planning

University Programs are offered through leading institutions across the country like Fordham and Georgetown Universities. The Executive Certificate in Financial Planning Program (University Programs) is designed to meet the schedule demands of working professionals. The program benefits both experienced professionals seeking to advance their careers and those entering the field for the first time. Programs are available in 9-month and 12-month curriculums.

### Online Certificate in Financial Planning

This fully self-paced program designed by Kaplan University is our self-study option. Study anytime, anywhere. Instructors are available via class message boards and through email. The program can be completed in 12 months or less and includes six courses, each consisting of 10 units. There is one online quiz per lesson and an online final exam at the end of each course.

### Review Course Options

Ready to sit for the exam but need an intensive review? Review courses are available in traditional, virtual, and online formats. We offer more than 30 classes in 18 states across the country. If you prefer self-study with textbooks, ask about our newly updated materials in our money-saving Platinum package.

### Attend This Virtual Class Review

Review Dates: Feb 4, 6, 7      Mar 3, 5, 6  
 Feb 11, 13, 14      Mar 3, 4, 5, 6  
 Feb 18, 20, 21      Mar 10, 12  
 Feb 25, 27, 28      Mar 10, 11, 12  
 Feb 26, 27, 28

Review Times: Mon, Wed, and Thu:  
 4:00 pm–7:00 pm ET or 7:30 pm–10:30 pm ET  
 Mon–Thu: 5:30 pm–10:30 pm ET

Still preparing for the March 2008 CFP® Exam?

## Ensure pass rate success by enrolling in one of our leading programs today!

Class Information		FP101	FP102	FP103	FP104	FP105	FP106
<b>Traditional Live Class</b> November 2008 Certification Exam	Chicago	Jan 17–20	Feb 14–17	Mar 27–30	May 7–10	Jun 19–22	Jul 31–Aug 3
	Houston	Jan 10–13	Feb 14–17	Mar 27–30	May 7–10	Jun 19–22	Jul 31–Aug 3
	Los Angeles	Jan 31–Feb 3	Mar 13–16	Apr 17–20	May 29–Jun 1	Jul 10–13	Aug 21–24
	New York	Jan 24–27	Feb 21–24	Apr 3–6	May 15–18	Jun 26–29	Aug 7–10
	San Francisco	Jan 17–20	Feb 21–24	Apr 3–6	May 15–18	Jun 26–29	Aug 7–10
<b>Virtual Class</b> November 2008 Certification Exam	Class 1	Jan 28	Mar 10	Apr 16	May 28	Jul 2	Aug 11
	Class 2	Jan 30	Mar 12	Apr 17	May 29	Jul 3	Aug 13
	Class 3	Jan 31	Mar 13	Apr 21	Jun 2	Jul 7	Aug 14
	Class 4	Feb 4	Mar 17	Apr 23	Jun 4	Jul 9	Aug 18
	Class 5	Feb 6	Mar 19	Apr 24	Jun 5	Jul 10	Aug 20
	Class 6	Feb 7	Mar 20	Apr 28	Jun 9	Jul 14	Aug 21
	Class 7	Feb 11	Mar 24	Apr 30	Jun 11	Jul 16	Aug 25
	Class 8	-----	-----	May 1	Jan 12	Mar 17	Aug 27

Certified Financial Planner Board of Standards Inc. owns the certification marks CFP®, CERTIFIED FINANCIAL PLANNER™ and federally registered CFP® in the U.S., which it awards to individuals who successfully complete CFP Board's initial and ongoing certification requirements. Kaplan University does not certify individuals to use the CFP®, CERTIFIED FINANCIAL PLANNER™ and CFP®, certification marks. CFP® certification is granted only by Certified Financial Planner Board of Standards Inc. to those persons who, in addition to completing an educational requirement such as this CFP Board-Registered Program, have met its ethics, experience and examination requirements. Kaplan Financial and Kaplan University are review course providers for the CFP® Certification Examination administered by Certified Financial Planner Board of Standards Inc. CFP Board does not endorse any review course or receive financial remuneration from review course providers.

\*Source: Average as surveyed in College for Financial Planning 2006, 2007 Survey of Trends in the Financial Planning Industry. Past results do not guarantee future earnings.

Enroll today by calling Kaplan Financial Customer Service at 1-888-694-3568.  
 To view class schedules and download enrollment forms, please visit [www.kaplanfinancial.com](http://www.kaplanfinancial.com).

# Enrollment Application

Student Name \_\_\_\_\_

Social Security # \_\_\_\_\_

Insurance License # \_\_\_\_\_

Home Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Company Name \_\_\_\_\_

Company Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Business Phone \_\_\_\_\_ Home Phone \_\_\_\_\_

Fax \_\_\_\_\_ Email \_\_\_\_\_

Manager's Name \_\_\_\_\_

## Four Easy Ways to Enroll

**1 Online**  
www.kaplanfinancial.com

**2 Fax**  
1-505-821-5960

**3 Mail**  
Kaplan Financial  
8205 Spain Rd. NE, Ste. 109  
Albuquerque, NM 87109

**4 Phone**  
1-800-521-3395

Class	For Classroom Courses			Total Due
	Location	Dates	Tuition	

### PAYMENT INFORMATION

Ship to: Home  Business  Pick Up

All enrollments must be prepaid. Prices are subject to change without notice.

Check # \_\_\_\_\_

Visa    MasterCard    American Express    Discover

Card # \_\_\_\_\_

Exp. Date \_\_\_\_\_

Signature \_\_\_\_\_

<b>Total Purchase</b>	
<b>Sales Tax*</b>	
<b>Shipping &amp; Handling \$9</b> Add \$3 for each additional course	
<b>TOTAL</b>	

UPS will not ship to PO boxes.  
Tax not applicable to classes.  
Express shipping \$11.  
\* Self-study courses must include applicable sales tax.  
Kaplan Financial collects sales/use taxes in the following states:  
AZ, CA, CO, FL, GA, IA, IL, IN, MA, MD, MI, MN, MO, NC, NJ, NM, NY, OH, PA, TX, WI

To ensure timely grading and reporting, we suggest exams be sent to Kaplan Financial (location noted on exam) a minimum of 30 days before the date the license expires.



New Mexico  
**Insurance and Securities Licensing**  
November 2007–March 2008

**About Kaplan Financial**

Kaplan Financial is comprised of Schweser, a Kaplan Professional company, and these former companies: Dearborn Financial Services, BISYS Education Services, eMind, and Insurance Achievement.

**Now Available!**  
**Qualified Financial Advisor (QFA)<sup>™</sup> Online Course**

**Catapult your career** into one of the hottest markets—financial planning.

Whether you're new to the field or just want to expand your knowledge base, this outstanding program is your choice. The components of Kaplan Financial's QFA program ensure a solid foundation in the wealth management process, and will help you provide superior service to your clients.

**QFA curriculum focuses on:**

- the fundamentals of personal investment management and integrated financial planning
- the broad range of financial issues confronting those seeking to increase their wealth and the planning intricacies of high net worth individuals
- the foundation for those interested in the CFP<sup>®</sup> certification. Those who earn their QFA designation will receive credit toward their mandatory education for the CFP<sup>®</sup> Certification Exam.

The QFA program is self-directed, so you can learn at your own pace. No textbooks or offline study materials are required.

To begin the QFA course or for more information, call 1-888-694-3568 or visit us online at [www.kaplanfinancial.com/QFA](http://www.kaplanfinancial.com/QFA).

