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Wiley Series 62
Exam Review
2013 + Test

Bank John Wiley & Sons	Series 6 Exam,	mentally and
The go-to guide	an agent may be	strategically to
to acing the	required to pass	take the test, it
Series 6 Exam!	a state life	provides:
Passing the	insurance exam	Dozens of
Series 6 Exam	to transact	examples
qualifies an	business in	Assorted
individual to	variable	practice
function as an	contracts.	questions for
agent of a	Created by the	each subject
broker dealer	experts at The	area covered in
and allows the	Securities	the exam
limited	Institute of	Priceless test-
representative	America, Inc.,	taking tips and
to transact	Wiley Series 6	strategies
business in	Exam Review	Helpful hints on
mutual funds	2016 arms you	how to study for
(closed-end	with what you	the test, manage
funds on the	need to score	stress, and stay
initial offering	high on this	focused Wiley
only), unit	tough	Series 6 Exam
investment	100-question	Review 2016 is
trusts, variable	test. Designed to	your ticket to
annuities, and	let you build and	passing the
variable life	fine-tune your	Series 6 test on
insurance	knowledge of all	the first try—with
products. In	areas covered in	flying colors!
addition to	the exam and to	<i>Wiley Series 26</i>
passing the	guarantee that	<i>Exam Review</i>
	you're prepared	<i>2015 + Test Bank</i>

John Wiley & Sons
The go-to guide to
acing the Series
99 Exam! Passing
the Operations
Professional
Qualification
Exam (Series 99)
qualifies an
individual to
perform a variety
of operations
functions in
support of a
broker-dealer.
The exam covers
the broker-dealer
business at a
fundamental level,
standard
operations
functions, investor
protection and
market integrity
regulations,
identifying and
escalating
regulatory red-flag
issues to the
appropriate

person in a firm,
and professional
conduct and
ethical standards.
There are no
prerequisites for
the Series 99
Exam, but all
candidates must
be sponsored by a
FINRA member
firm. Created by
the experts at The
Securities Institute
of America, Inc.,
Wiley Series 99
Exam Review
2015 arms you
with everything
you need to pass
this challenging
100-question test.
Designed to help
you build and fine-
tune your
knowledge of all
areas covered in
the exam and to
guarantee that
you're prepared

mentally and
strategically to
take the test, it
provides: Dozens
of examples
Assorted practice
questions for each
subject area
covered in the
exam Priceless
test-taking tips
and strategies
Helpful hints on
how to study for
the test, manage
stress, and stay
focused Wiley
Series 99 Exam
Review 2015 is
your ticket to
passing the Series
99 test on the first
try—with flying
colors!
Wiley Series 10
Exam Review 2016 +
Test Bank John
Wiley & Sons
The go-to guide to
acing the Series 4

Exam! The Registered in the exam are:	examples Assorted
Options Principal	practice questions for
Qualification	each subject area
Examination (Series	covered in the exam
4) was designed to	Priceless test-taking
test a candidate's	tips and strategies
knowledge of the	Helpful hints on how
rules and statutory	to study for the test,
provisions applicable	manage stress, and
to the supervisory	stay focused Wiley
management of a	Series 4 Exam Review
firm's options	2016 is your ticket to
personnel and	passing the Series 4
options accounts.	test on the first
After passing the	try—with flying
exam, a registered	colors!
person may supervise	<i>Wiley Series 6</i>
a FINRA member	<i>Exam Review 2016</i>
firm's options	+ <i>Test Bank</i> John
business and is	Wiley & Sons
qualified to oversee	The go-to guide for
trades on all forms of	the Series 3, with
options, from equity	practice, examples,
options to foreign	strategies, and more
currency options to	Wiley Series 3
options on	Exam Review 2016
government and	+ Test Bank is a
mortgage-backed	comprehensive
securities. The	study guide for the
subject areas covered	FINRA Series 3

exam, which qualifies candidates to sell commodities or futures contracts. Created by the experts at The Securities Institute of America, Inc., this useful guide provides the information and practice you need to ace the exam. The book is designed to help you build and fine-tune your knowledge of each subject area covered, giving you the confidence you need to perform at your best. Work through review questions, study examples, and develop a strategy for the exam itself. You'll even find guidance toward effective studying	methods that allow you to enter the exam fully mentally prepared. The National Commodities Futures Examination (Series 3) tests your knowledge of rules and statutes applicable to the markets. This intense two and a half hour test is a must for aspiring financial professionals, as passing means registration to conduct business in commodity futures and options. This book provides a valuable opportunity to test your knowledge and bring weak areas up to par, with complete coverage	of exam topics. Review practice questions taken from each subject area covered by the exam Study hundreds of examples to clarify complex concepts and techniques Gain insight into the best strategies and tips for taking the Series 3 Develop an effective study plan to stay focused and keep stress to a minimum Although the exam is entry- level, the stakes are high and the subject matter is complex. Don't muddle through it alone and assume you're prepared – this guide helps you be sure. For the Series 3 candidate serious about success,
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Wiley Series 3 Exam and variable life
Review 2016 is your insurance
ticket to passing products. In
with flying colors – addition to passing
the first time. the Series 6 Exam,

Wiley Series 66
Exam Review
2013 + Test Bank

John Wiley &
Sons

The go-to guide to
acing the Series 6
Exam! Passing the
Series 6 Exam
qualifies an
individual to
function as an
agent of a broker
dealer and allows
the limited
representative to
transact business
in mutual funds
(closed-end funds
on the initial
offering only), unit
investment trusts,
variable annuities,

an agent may be
required to pass a
state life insurance
exam to transact
business in variable
contracts. Created
by the experts at
The Securities
Institute of
America, Inc.,
Wiley Series 6
Exam Review
2014 arms you
with what you
need to score high
on this tough
100-question test.
Designed to let you
build and fine-tune
your knowledge of
all areas covered in
the exam and to
guarantee that

you're prepared
mentally and
strategically to take
the test, it
provides: Dozens
of examples
Assorted practice
questions for each
subject area
covered in the
exam Priceless test-
taking tips and
strategies Helpful
hints on how to
study for the test,
manage stress, and
stay focused Wiley
Series 6 Exam
Review 2014 is
your ticket to
passing the Series
6 test on the first
try—with flying
colors!
Wiley Series 62
Exam Review
2015 + Test Bank
John Wiley &

<p>Sons</p> <p>The go-to guide to</p> <p>acing the Series 26</p> <p>Exam! Passing the</p> <p>Investment</p> <p>Company</p> <p>Products/Variable</p> <p>Contracts Limited</p> <p>Principal</p> <p>Qualification</p> <p>Exam (Series 26)</p> <p>qualifies an</p> <p>individual to</p> <p>operate as a</p> <p>principal</p> <p>responsible for</p> <p>supervising and</p> <p>managing a firm</p> <p>and its agents</p> <p>conducting</p> <p>business in open-</p> <p>end mutual funds,</p> <p>variable annuities,</p> <p>and life insurance.</p> <p>The exam covers</p> <p>hiring and</p> <p>qualification,</p> <p>training of</p>	<p>representatives,</p> <p>supervision, sales</p> <p>practices, and</p> <p>business processing</p> <p>and recordkeeping</p> <p>rules. A principal</p> <p>must have passed</p> <p>the Series 6 or</p> <p>Series 7 Exams</p> <p>prior to taking the</p> <p>Series 26. Created</p> <p>by the experts at</p> <p>The Securities</p> <p>Institute of</p> <p>America, Inc.,</p> <p>Wiley Series 26</p> <p>Exam Review</p> <p>2015 arms you</p> <p>with everything</p> <p>you need to pass</p> <p>this long</p> <p>110-question</p> <p>multiple-choice</p> <p>test. Designed to</p> <p>help you build and</p> <p>fine-tune your</p> <p>knowledge of all</p> <p>areas covered in</p>	<p>the exam and to</p> <p>guarantee that</p> <p>you're prepared</p> <p>mentally and</p> <p>strategically to take</p> <p>the test, it</p> <p>provides: Dozens</p> <p>of examples</p> <p>Assorted practice</p> <p>questions for each</p> <p>subject area</p> <p>covered in the</p> <p>exam Priceless test-</p> <p>taking tips and</p> <p>strategies Helpful</p> <p>hints on how to</p> <p>study for the test,</p> <p>manage stress, and</p> <p>stay focused Wiley</p> <p>Series 26 Exam</p> <p>Review 2015 is</p> <p>your ticket to</p> <p>passing the Series</p> <p>26 test on the first</p> <p>try—with flying</p> <p>colors!</p> <p>Wiley Series 63</p> <p>Exam Review 2014</p>
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+ Test Bank John Wiley & Sons The Investment Company Products/Variable Contracts Limited Representative exam, or the Series 6, qualifies an individual who will function as a principal for the solicitation, purchase, and/or sale of redeemable securities of companies registered pursuant to the Investment Company Act of 1940; securities of closed-end companies registered pursuant to the Investment Company Act of 1940 during the period of original distribution only; and variable	contracts and insurance premium funding programs and other contracts issued by an insurance company. This qualification allows transactions on the following: Mutual funds (closed-end funds on the initial offering only); variable annuities; variable life insurance; unit investment trusts; municipal fund securities (e.g., 529 College Savings Plans, Local Government Investment Pools (LGIPs), Coverdell Education Savings Accounts). A Series 6 Registered Representative may conduct business in mutual funds and variable contracts.	Each book is accompanied by an online test bank with 201 questions, organized by chapter. The questions included in the book have been included in this online test bank. Topics Covered: Securities Markets, Investment Securities and Economic Factors Securities and Tax Regulation Marketing, Prospecting and Sales Presentation Evaluation of Customers Product Information; Investment Company Securities and Variable Contracts Opening and Servicing Customer Accounts Test: 100 multiple-
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choice questions;
Two hours and fifteen minutes to complete exam;
Candidate must answer 70% of the questions correctly to pass. There are no pre-requisites to take the Series 6 exam, but candidates must be sponsored by a FINRA member firm.
Wiley Series 63 Exam Review 2016 + Test Bank
John Wiley & Sons
This best-in-class series 65 exam prep study guide and test bank details everything you need to know to ensure your success on the series 65 exam.

Written by the experts at The Securities Institute of America, this exam review guide will make you a master of all things tested on your series 65 exam. This textbook provides extraordinary detail covering advanced portfolio management concepts, recommendations and ethics, client profiles, registration of investment advisors and agents and more. This study guide comes with a complimentary series 65 test bank to help you master

the application of the knowledge provided in the study guide. The Series 65 Study Guide arms you with everything you need to pass this intensive 130-question test. Designed to help you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it provides: - Dozens of examples based on real student feedback- Hundreds of practice questions for each subject

area covered in the individual to	candidates must be
exam- Priceless test-perform a variety	sponsored by a
taking tips and of operations	FINRA member
strategies- Helpful functions in	firm. Created by
hints on how to support of a broker-the experts at The	Securities Institute
study for the test, dealer. The exam	of America, Inc.,
manage stress, and covers the broker-	Wiley Series 99
stay focused. The dealer business at a	Exam Review
Series 65 Study fundamental level,	2014 arms you
Guide and Test standard	with everything
Bank 2021 is your operations	you need to pass
ticket to passing functions, investor	this challenging
the Series 65 exam protection and	100-question test.
on the first try-with market integrity	Designed to help
flying colors! regulations,	you build and fine-
Wiley Series 6 identifying and	tune your
Exam Review escalating	knowledge of all
2015 + Test Bank regulatory red-flag	areas covered in
John Wiley & issues to the	the exam and to
Sons appropriate person	guarantee that
The go-to guide to in a firm, and	you're prepared
acing the Series 99 professional	mentally and
Exam! Passing the conduct and	strategically to take
Operations ethical standards.	the test, it
Professional There are no	provides: Dozens
Qualification prerequisites for	of examples
Exam (Series 99) the Series 99	Assorted practice
qualifies an Exam, but all	

<p>questions for each subject area covered in the exam Priceless test-taking tips and strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 99 Exam Review 2014 is your ticket to passing the Series 99 test on the first try—with flying colors!</p> <p><u>Wiley Series 99 Exam Review 2015 + Test Bank</u></p> <p>John Wiley & Sons</p> <p>The go-to guide to acing the Series 63 Exam! Passing the Uniform Securities Agent State Law</p>	<p>Examination (Series 63) qualifies an individual to act as a securities agent. The exam covers the principles of state securities regulation as reflected in the Uniform Securities Act and its amendments and related rules, as well as ethical practices and fiduciary obligations. Many states require an agent to pass the Series 63 exam in addition to the Series 6, 7 or 62 exams to conduct securities business within the state. Created by the experts at The</p>	<p>Securities Institute of America, Inc., Wiley Series 63 Exam Review 2016 arms you with everything you need to pass this challenging 60-question test. Designed to help you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it provides: Dozens of examples Assorted practice questions for each subject area covered in the exam Priceless test-taking tips and</p>
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strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 63 Exam Review 2016 is your ticket to passing the Series 63 test on the first try—with flying colors!

Wiley Series 6 Exam Review 2013 + Test Bank John Wiley & Sons
The Uniform Combined State Law Examination (Series 66) is designed to qualify candidates as both securities agents and investment adviser representatives. Each book is accompanied by an online test bank with 113 questions, organized by chapter. The questions included in the book

have been included in this online test bank
Topics Covered: Economic Factors and Business Information Client Investment Recommendations and Strategies Laws, Regulations, and Guidelines, including Prohibition on Unethical Business Practices Test: 100 multiple choice questions; 2 hours and 30 minutes testing time; candidate must answer 70% of questions correctly to pass. Pre-requisites: The Series 7 is a co-requisite exam that needs to be successfully completed in addition to the Series 66 exam before a candidate can register with a state.
Wiley Series 6 Exam Review 2014 + Test Bank John Wiley & Sons
The go-to guide to

acing the Series 62 Exam! Passing the Corporate Securities Limited Representative Exam (Series 62) qualifies an individual as a representative for the sale of public offerings and/or private placements of corporate securities, rights, warrants, closed-end funds, money market funds, REITs, asset-backed securities, mortgage-backed securities, and more. Topics covered on the exam include characteristics of securities and investments, the market for corporate securities, evaluation of securities and investments, and handling customer accounts and securities industry regulation. Created by the experts at The Securities Institute of

America, Inc., Wiley Series 62 Exam Review 2015 arms you with everything you need to pass this challenging 115-question multiple-choice test. Designed to help you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it provides: Dozens of examples Assorted practice questions for each subject area covered in the exam Priceless test-taking tips and strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 62 Exam Review 2015 is your ticket to passing the Series 62 test on the first try—with flying

colors!
Wiley Series 26 Exam Review 2016 + Test Bank John Wiley & Sons
The go-to guide to acing the Series 65 Exam! Consisting of 130 multiple-choice questions in the areas of ethics and legal guidelines, investment strategies, investment vehicles, and economics and analysis, the Uniform Investment Adviser Law Examination (Series 65) is designed to qualify candidates as investment adviser representatives. An indispensable resource for anyone preparing to take this tough three-hour exam, Wiley Series 65 Exam Review 2015 was created by the experts at The Securities Institute of America, Inc. It arms you with what you

need to score high and pass the Series 65 Exam on your first try. Designed to let you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it features: Dozens of examples Assorted practice questions for each subject area covered in the exam Priceless test-taking tips and strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 65 Exam Review 2015 is your ticket to passing the Uniform Investment Adviser Law Examination—with flying colors!
Wiley Series 65 Exam Review

<p>2013 + Test Bank John Wiley & Sons The go-to guide to acing the Series 7 Exam! The General Securities Representative Examination (Series 7) is an entry-level exam that qualifies individuals for registration with all self-regulatory organizations to trade, promote, and sell all forms of general securities. This intense six-hour test is the must- pass exam for aspiring financial professionals. The exam consists of 250 questions about everything from stocks and</p>	<p>stock markets, government securities, municipal and corporate bonds, and options to rules for acquiring customers and handling their accounts, general economic theory, and the rules and regulations of the Securities and Exchange Commission. Created by the experts at The Securities Institute of America, Inc., Wiley Series 7 Exam Review 2013 arms you with what you need to score high on the test and pass the Series 7 Exam. Designed to</p>	<p>let you build and fine-tune your knowledge of all areas covered and guarantee that you're prepared mentally and strategically to take the test, it provides: Hundreds of examples 542 practice questions covering each subject area in the exam Priceless test- taking tips and strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 7 Exam Review 2013 is your ticket to passing the test with flying colors—on the first</p>
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helps thousands of matches your skill
securities and level, learning
insurance style, and schedule.
professionals build Regardless of the
successful careers format you choose,
in the financial you can be sure
services industry that our securities
every year. Our training courses
securities training are relevant,
options include: tested, and
Onsite classes designed to help
Private tutoring you succeed. It is
Classroom training the experience of
Interactive online our instructors and
video training the quality of our
classes State-of-the-materials that
art exam make our courses
preparation requested by name

at some of the
largest financial
services firms in
the world. To
contact The
Securities Institute
of America, visit us
on the web at www.SecuritiesCE.com
or call
877-218-1776.
Wiley Series 99
Exam Review 2016 +
Test Bank John
Wiley & Sons
Uniform Securities
Exam (Series 63) is
designed to qualify
candidates as
securities agents. The
examination covers
the principles of state
securities regulation
reflected in the
Uniform Securities
Act. Topics Covered:
State Securities Acts
and Related Rules
Ethical Practices and
Fiduciary Obligations
Test: 65 multiple-

choice questions, 5 of which are experimental. Candidate must correctly answer at least 43 of the 60 scored questions. Each book is accompanied by an online test bank with 127 questions, organized by chapter. The questions included in the book have been included in this online test bank

Pre-requisites: In order to conduct securities business, many states require that an agent successfully complete the Series 63, in addition to obtaining a Series 6, 7, or 62 registration, but a candidate is not required to have any other professional qualifications prior to taking the Series 63 exam.

Wiley Series 4 Exam

Review 2016 + Test Bank John Wiley & Sons

The go-to guide to acing the Series 65 Exam! Consisting of 130 multiple-choice questions in the areas of ethics and legal guidelines, investment strategies, investment vehicles, and economics and analysis, the Uniform Investment Adviser Law Examination (Series 65) is designed to qualify candidates as investment adviser representatives. An indispensable resource for anyone preparing to take this tough three-hour exam, Wiley Series 65 Exam Review 2016 was created by the experts at The Securities Institute of America, Inc. It arms you with what you need to score high and pass the Series 65

Exam on your first try. Designed to let you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it features: Dozens of examples Assorted practice questions for each subject area covered in the exam Priceless test-taking tips and strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 65 Exam Review 2016 is your ticket to passing the Uniform Investment Adviser Law Examination—with flying colors! Wiley Series 65 Exam Review 2016 + Test Bank John Wiley & Sons

The go-to guide to

acing the Series 26 Exam! Passing the Investment Company Products/Variable Contracts Limited Principal Qualification Exam (Series 26) qualifies an individual to operate as a principal responsible for supervising and managing a firm and its agents conducting business in open-end mutual funds, variable annuities, and life insurance. The exam covers hiring and qualification, training of representatives, supervision, sales practices, and business processing and recordkeeping rules. A principal must have passed the Series 6 or Series 7 Exams prior to taking the Series 26. Created by the experts at The Securities Institute of America, Inc., Wiley

Series 26 Exam Review 2014 arms you with everything you need to pass this long 110-question multiple-choice test. Designed to help you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it provides: Dozens of examples Assorted practice questions for each subject area covered in the exam Priceless test-taking tips and strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 26 Exam Review 2014 is your ticket to passing the Series 26 test on the first try—with flying colors!

Wiley Series 4 Exam Review 2013 + Test Bank John Wiley & Sons Registered Options Principal Qualification Examination The Registered Options Principal Qualification Examination (Series 4) is designed to test a candidate ' s knowledge of the rules and statutory provisions applicable to the supervisory management of a firm's options personnel and options accounts. After passing the Series 4 exam, a registered person may supervise a

<p>FINRA member firm's option business and is qualified to oversee trades on the following instruments: Equity options; foreign currency options; interest rate options; index options; options on government and mortgage-backed securities. Each book is accompanied by an online test bank with 68 questions organized by chapter. The questions included in the book have been included in this online test bank. Topics Covered: Options Investment</p>	<p>Strategies Supervision of Sales Activities and Trading Practices Supervision of Employees, Business Conduct, and Recordkeeping and Reporting Requirements Test: 125 multiple choice questions; 3 hours testing time. A candidate must answer 70% of the questions correctly to pass the Series 4 exam. Pre-requisites: The Series 7, 17, 37, 38, 42 or 62 can be used to meet the prerequisite of the Series 4 exam. All candidates must be sponsored by a FINRA member</p>	<p>firm to take the series 4 exam. <u>Wiley Series 66 Exam Review 2014 + Test Bank</u> John Wiley & Sons This best-in-class Series 57 exam prep study guide and test bank details everything you need to know to ensure your success on the Series 57 exam. Written by the experts at The Securities Institute of America, This exam review guide will make you a master of all things tested on your Series 57 exam. This textbook provides extraordinary detail covering trading and market making, ACT, TRACE the</p>
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ADF, handling and displaying customer limit orders and more. This study guide comes with a complimentary Series 57 test bank to help you master the application of the knowledge provided in the study guide. The Series 57 Exam Study Guide 2022 + Test Bank arms you with everything you need to pass this intensive 50-question test. Designed to help you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it provides:?

Dozens of examples based on real student feedback? hundreds of practice questions for each subject area covered in the exam? Priceless test-taking tips and strategies? Helpful hints on how to study for the test, manage stress, and stay focused. The Series 57 Exam Study Guide 2022 + Test Bank is your ticket to passing the Series 57 test on the first try-with flying colors! Wiley Series 26 Exam Review 2013 + Test Bank John Wiley & Sons The go-to guide to acing the Series 4 Exam! The

Registered Options Principal Qualification Examination (Series 4) was designed to test a candidate's knowledge of the rules and statutory provisions applicable to the supervisory management of a firm's options personnel and options accounts. After passing the exam, a registered person may supervise a FINRA member firm's options business and is qualified to oversee trades on all forms of options, from equity options to foreign currency

options to options on the test.	4 test on the first
on government	Designed to let you try—with flying
and mortgage-	build and fine-tune colors!
backed securities.	your knowledge of
The subject areas	all areas covered in
covered in the	the exam and to
exam are: Options	guarantee that
Investment	you're prepared
Strategies;	mentally and
Supervision of	strategically to take
Sales Activities and	the test, it
Trading Practices;	provides: Dozens
Supervision of	of examples
Employees,	Assorted practice
Business Conduct;	questions for each
and	subject area
Recordkeeping	covered in the
and Reporting	exam Priceless test-
Requirements.	taking tips and
Created by the	strategies Helpful
experts at the	hints on how to
Securities Institute	study for the test,
of America, Inc.,	manage stress, and
Wiley Series 4	stay focused Wiley
Exam Review	Series 4 Exam
2015 arms you	Review 2015 is
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need to score high	passing the Series