

Series 14 Cheat Sheet 2026

The night-before summary, built like the exam.

110 Scored questions	3h Time limit	70% Passing score
\$350 Exam fee	FINRA Governing body	— Pass rate

The numbers to remember

- 110 questions, all multiple choice.
- 3 hours (180 minutes) total time.
- 70% is the passing score.
- No corequisite exam required.
- Must be sponsored by a FINRA/SRO member firm to register.
- Effective since September 1989 — still the current version.
- Fail once: wait 15 calendar days to retake. Fail a third time: wait 60 calendar days.
- Registration stays valid 2 years after termination before it lapses.
- Listed fee: \$350 on the Series 14 page (FINRA's summary table shows \$450 — verify current pricing directly with FINRA).
- Alternative path: pass Series 14, or pass SIE + Series 7 + Series 24.

Content domains and weights

- Markets and Operations — 20
- General Supervision — 20
- Sales Practice – Customer/Employee Accounts — 16
- Investment Banking — 15
- Broker-Dealer Operations — 10
- Sales Practice – Solicitations — 10
- Registration — 9
- Credit Regulation/Capital Requirements — 7
- Regulatory Agencies — 3
- 110 total scored questions

High-yield review areas

- General Supervision and Markets and Operations together are 40 of 110 questions — over a third of the exam. Prioritize these first.
- The two Sales Practice domains combined add 26 questions — review both, not just one.
- Investment Banking at 15 questions is worth a dedicated review block of its own.
- Don't neglect the small domains: Registration, Credit Regulation/Capital Requirements, and Regulatory Agencies still total 19 questions combined, and every question counts equally toward your 70% target.

Top traps

- Spending equal study time on a 3-question domain and a 20-question domain instead of weighting by the blueprint.
- Assuming you can retake immediately after failing — the wait is 15 calendar days (60 after a third fail).

- Confusing the Series 14 fee figures — sources currently disagree (\$350 vs \$450), so confirm before you pay.
- Forgetting that registration for this exam requires firm sponsorship — you cannot self-register.
- Ignoring pacing: at 110 questions in 3 hours, don't let a handful of hard questions burn time you need for the rest of the exam.

Official sources

- FINRA — Series 14 – Compliance Officer Exam | FINRA.org:
<https://www.finra.org/registration-exams-ce/qualification-exams/series14>
- FINRA — 1210. Registration Requirements | FINRA.org: <https://www.finra.org/rules-guidance/rulebooks/finra-rules/1210>
- FINRA — Qualification Exam Frequently Asked Questions (FAQ) | FINRA.org:
<https://www.finra.org/registration-exams-ce/qualification-exams/faq>

Free practice questions for this exam: www.everyexamprep.com/practice/exams/securities/series-14