Series 9/10 Cheat Sheet 2026

The night-before summary, built like the exam.

200 Scored questions	**5h 30m** Time limit	**70% each part** Passing score
$410 Exam fee	**FINRA** Governing body	

Series 9/10 at a Glance

The General Securities Sales Supervisor Qualification is delivered in two parts: Series 9 (options supervision) and Series 10 (general supervision). Together they cover 200 multiple-choice questions, and you must score at least 70% on each part to qualify.

- Total items: 200 multiple-choice questions across both parts.
- Passing standard: 70% on each part (Series 9 and Series 10 are scored and passed separately).
- Structure: Series 9 focuses on options-account supervision; Series 10 covers general-securities branch supervision.

What Each Part Supervises

Series 9 (Options): Supervising options account opening/approval, options communications, position and exercise limits, and options-specific suitability and disclosure.

Series 10 (General): Supervising hiring/qualification/registration of associated persons, general customer accounts, trading, and firm business conduct.

Must-Remember Supervisory Rules

- Written Supervisory Procedures (WSPs): A supervisor must maintain and apply written procedures reasonably designed to achieve compliance; review and update them as rules change.
- Correspondence & communications: Retail communications generally require principal pre-approval or documented supervisory review; keep evidence of review (initials/date/electronic sign-off).
- New accounts: Confirm required customer information, obtain principal approval, and verify suitability before recommendations.
- Options accounts: Deliver the Options Disclosure Document (ODD) at or before approval; a designated options principal must approve the account; obtain the signed options agreement within the required window.
- Discretionary accounts: Require prior written authorization and prompt principal approval; each discretionary order must be reviewed frequently.
- Complaints: Log, review, and retain written customer complaints; escalate and report as required.

Suitability & Recommendations

- Match recommendations to the customer's investment profile (objectives, risk tolerance, time horizon, liquidity needs, experience).
- Higher-risk strategies (uncovered options writing, margin) demand documented suitability and heightened supervision.

Test-Day Reminders

- Because it is 200 questions total, budget your time — pace yourself across both parts.
- You must clear the 70% bar on each part; a strong score on one part does not offset a fail on the other.

Source: FINRA · Last verified July 18, 2026

Official sources

- FINRA — General Securities Sales Supervisor Exam (Series 9 and 10): https://www.finra.org/registration-exams-ce/qualification-exams/series9-10
- FINRA — Securities Industry Essentials (SIE) Exam: https://www.finra.org/registration-exams-ce/qualification-exams/securities-industry-essentials-exam-sie
- FINRA — General Securities Representative Exam (Series 7): https://www.finra.org/registration-exams-ce/qualification-exams/series7

Free practice questions for this exam: www.everyexamprep.com/practice/exams/securities/series-9-10