

# Series 9/10 Cheat Sheet 2026

The night-before summary, built like the exam.

|                          |                                |                                       |
|--------------------------|--------------------------------|---------------------------------------|
| <b>200</b><br>Questions  | <b>5h 30m</b><br>Time limit    | <b>70% each part</b><br>Passing score |
| <b>\$410</b><br>Exam fee | <b>FINRA</b><br>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.

## 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>

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Free practice questions for this exam: [www.everyexamprep.com/exams/series-9-10/practice-test](http://www.everyexamprep.com/exams/series-9-10/practice-test)