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Investment Company Products/variable Contracts Limited ...

Variable contracts (annuities) and insurance premium funding programs and other contracts issued by an insurance company The Investment Company Act of 1940 regulates companies whose primary business is investing, reinvesting, and trading in securities, and who offer their own securities publicly to investors.

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FITTING VARIABLE LIFE INSURANCE AND VARIABLE ANNUITIES INTO THE REGULATORY FRAMEWORK OF THE INVESTMENT COMPANY ACT OF 1940 Stephen E.

Roth I. Introduction This outline discusses the applicability of the Investment Company Act of 1940, as amended, (the "1940 Act") to variable annuity contracts ("VA contracts") and variable life insurance

Investment Company Securities and Variable Contracts

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6) is used to qualify persons seeking registration with the NASD under Article II ...

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(C) The term "limited representative - investment company and variable contracts products" means a municipal securities representative whose activities with respect to municipal securities are limited exclusively to sales to and purchases from customers of municipal fund securities.

Series 26 - Investment Company Products/Variable Contracts ...

The Investment Company Products/Variable Contracts Limited Representative Qualification Exam is quite simply an objective assessment of a test taker's requisite foundation of knowledge and skills. Series 6 Test scores are used by the Financial Industry Regulatory Authority (FINRA) as a uniform standard of qualification.

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Series 6 exam - Wikipedia

Amazon.com: Kaplan Series 6 Securities License Exam Manual, Investment Company Products/Variable Contracts Limited Representative Exam, 9th Edition 2015: Kaplan Financial Education: Health & Personal Care

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A Series 26 license will qualify you to 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

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