

# Sifma Study Guide

## **Securities Industry and Financial Markets Association - Official Site**

Securities Industry and Financial Markets Association (SIFMA) represents hundreds of securities firms, banks and asset managers. We support a strong financial

<http://www.sifma.org/>

## **Education | SIFMA**

SIFMA's Educational Resources include the SIFMA Foundation, SII and the Proxy Resource Center

<http://www.sifma.org/education/>

## **Study - Standard of Care Harmonization, Impact Assessment for**

An October 2010 SIFMA and Oliver Wyman study for the U.S. Securities and Exchange Commission (SEC) on the impact of the harmonization of a fiduciary standard of care.

<http://www.sifma.org/issues/item.aspx?id=21999>

## **SIFMA Solomon Exam Prep**

Solomon Exam Prep is happy to release this month Series 24, SIFMA No The Solomon Exam Prep training system includes digital and print Exam Study Guides,

<https://solomonexamprep.com/news/tag/sifma/>

## **Advisory Industry: SIFMA Fiduciary Study Raises Lots of Questions**

The advisory industry is taking issue with a new study commissioned by the Securities Industry and Financial Markets Association (SIFMA) that says retail investors

<http://www.thinkadvisor.com/2010/11/02/advisory-industry-sifma-fiduciary-study-raises-lot>

## **Sifma Testing**

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## **Volcker Rule Materials Proprietary Trading SIFMA FSOC Study**

equity fund portion of the Study. SIFMA believes that the issues arising out of the proprietary Study to guide the interpretation of these terms and the scope of

<http://volckerrule.com/docs//prop/Tab.16.Comment.Letter.Study.PDF>

## **Fixed-Income - SIFMA**

SIFMA's Fixed-Income Division focuses on issues unique to providing fixed-income products to retail investors as part of their overall investment portfolio.

<http://www.sifma.org/fixed-income/>

## **Charles Schwab Sifma Exam > Priority Items**

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<http://www.advocateinteractive.com/item/charles-schwab-sifma-exam/>

## **SIFMA Foundation SMG At Home | smg at home | SMG Corner**

An independent study funded SMG At Home Advisor Guide: SMG At Home is currently available as an exclusive thank you gift from SIFMA Foundation for Investor

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## **New Study Guide Solomon Exam Prep**

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## **SIFMA Weighs In on SEC Fiduciary-Standard Study**

September 3, 2010 SIFMA Weighs In on SEC Fiduciary-Standard Study The six-month SEC study is required by the Dodd-Frank Wall Street Reform and Consumer Protection Act.

<http://www.thinkadvisor.com/2010/09/03/sifma-weighs-in-on-sec-fiduciarystandard-study>

## **Has anyone taken a SIFMA test before? | Wall Street Oasis**

Read forum discussions about Has anyone taken a SIFMA test before? on Wall Street Oasis, the largest finance industry social network and web community.

<http://www.wallstreeoasis.com/forums/has-anyone-taken-a-sifma-test-before>

## **MSRB seeks to limit muni-advisor gift-giving | SmartBrief**

Feb 01, 2015 The MSRB is also working on a study guide to the competency exam being developed for municipal advisors. Read SIFMA's comment letter and learn how

<http://www.smartbrief.com/02/02/15/msrb-seeks-limit-muni-advisor-gift-giving>

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