



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
NFA Branch Manager Examination (S30)	Series 30	03/03/2011
General Securities Principal Examination (S24)	Series 24	12/14/1989
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/02/1984

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	07/05/2011
Foreign Currency Options Examination (S15)	Series 15	12/28/1984
National Commodity Futures Examination (S3)	Series 3	05/22/1984
General Securities Representative Examination (S7)	Series 7	11/21/1981

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	01/15/2022
Uniform Investment Adviser Law Examination (S65)	Series 65	05/28/2019