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- Securities act of 1933

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- Orders
- SuperMontage system

The Role of Market Makers section covers:

- Withdrawing quotes
- Good delivery
- Proxies

The Investment Analysis section covers:

- Financial analyst's tools
- Technical analysis

The Customer Accounts section covers:

- Investment representative's requirements
- Illegal accounts
- Uniform gift to minors account

The Rules and Regulations section covers:

- SEC rule 144
- Regulation M
- Financial industry regulatory authority (FINRA)

The Retirement Plans section covers:

- Individual retirement accounts
- Employee retirement income security act of 1974
- Plans

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