

金融英语基础辅导：Registered Representatives注册代理人 PDF  
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Representative来源：考试大A person licensed by the SEC and the NYSE to act as an account executive for clients of brokerages.注册

代理人来源：考试大证券交易委员会或纽约证券交易所授权为经纪公司的客户提供服务的业务经纪人。Series 6来源：考

试大The General Securities Registered Representative examination. It is a six-hour multiple-choice test that must be passed by

brokers.Series 6来源：考试大证券经纪人考试。经纪人必须通过的6小时选择题考试。来源：考试大Series 3来源：考试

大The Uniform Securities Agent State Law examination. A three-hour multiple-choice test required by most states to be taken

by brokers. Series 3来源：考试大经纪人州政府法规考试。大多数州要求经纪人通过的3小时选择题考试。NASDThe National

Association of Securities Dealers. The NASD is supervised by the SEC and includes all over the counter dealer firms.NASD来源：考

试大全美证券交易商协会。NASD受证券交易委员会监督，包括所有场外交易公司。Broker ' s Book来源：考试大Record

kept by an AE of every transaction conducted for his clients. The “ book ” also contains their personal and financial profile.经纪人

记录簿来源：考试大记录客户经理为客户进行的每一笔交易的手册。该“手册”还记录他们的个人和财务档案

。Churning来源：考试大Encouraging or creating transactions in a customer ' s account for the purpose of generating commissions.炒

单来源：考试大在客户账户中多次怂恿或虚设交易以增加佣金。 Crossing (stock) Encouraging one client to buy while encouraging another to sell the same stock in order to create a transaction. 对敲来源：考试大怂恿一方客户买入，同时怂恿另一方客户卖出相同股票以虚设交易。“ Burning ” a Book来源：考试大 Churning the accounts of customers without profit to the point that they will no longer allow a broker to transact trades for them. “ 烧毁 ” 记录簿来源：考试大多次炒单而没有利润，使得客户不再允许该经纪人为他们操作交易。 100Test 下载频道开通，各类考试题目直接下载。详细请访问 [www.100test.com](http://www.100test.com)