



SALEM ADVISORY GROUP, LLC

REGISTERED INVESTMENT ADVISORY

The Series 65 Exam

Passing the Series 65 Exam is the process of becoming a state licensed Investment Advisor Representative (IAR).

The firm, Salem Advisory Group, LLC, is a Registered Investment Adviser and you will become an IAR.

It is common to refer to the firm as "Adviser" and the individuals associated with the firm as "Advisor", but this is not mandatory.

Once you decide to take the exam you may review various websites offering to sell study materials, provide on line training, etc. When you are ready to sit for the exam Salem Advisory will complete a U4 form at the Financial Industry Regulatory Authority (FINRA) and you will become a Provisional Employee of Salem Advisory Group, LLC.

Upon passing the exam and participating in a Maine Office of Securities sponsored seminar you will be a fully licensed individual able to conduct advisory business in Maine and an employee of Salem Advisory Group, LLC.

The Chief Compliance Officer of Salem Advisory will supervise your activities and be responsible for your actions.

You will participate in a formal training program designed to introduce you to all facets of this business. You will have restricted access to files and client accounts.

Depending on various factors you will either remain as an employee thereafter or the firm will complete a U5 form at FINRA and that will terminate your licensure.

You may contact me with questions anytime.

Kevin Colley 
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If you would like a copy of Salem Advisory Group, LLC's Form ADV, you may visit the IARD Public Disclosure website, www.advisorinfo.see.gov or contact our office at the address or phone number above.