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## FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> <li>Employee Conduct and Reportable Events: This section of the exam measures the skills of Financial Compliance Specialists and covers regulatory expectations regarding employee conduct and disclosure requirements. Candidates must be familiar with Form U4 and Form U5, as well as reporting obligations for outside business activities and political contributions.</li> </ul>

Topic 2	<ul style="list-style-type: none"> <li>• Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including registration and continuing education for associated persons. Candidates must understand the distinction between registered and non-registered individuals and the requirements for maintaining industry qualifications.</li> </ul>
Topic 3	<ul style="list-style-type: none"> <li>• Understanding Products and Their Risks: This section of the exam measures the skills of Investment Analysts and examines different financial products and associated risks. Candidates must understand equity securities, including common stock, as well as debt instruments such as Treasury securities and mortgage-backed securities.</li> </ul>

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q255-Q260):

### NEW QUESTION # 255

In performing fundamental analysis of an equity, which of the following elements should an investor consider?

- A. Financial statements
- B. Chart patterns
- C. Moving average
- D. Resistance and support levels

**Answer: A**

Explanation:

Fundamental analysis focuses on evaluating a company's financial health and potential for growth by analyzing its financial statements, such as the income statement, balance sheet, and cash flow statement.

\* C is correct because financial statements provide the data necessary for fundamental analysis.

\* A and B are incorrect because chart patterns and moving averages are tools of technical analysis, not fundamental analysis.

\* D is incorrect because resistance and support levels are also part of technical analysis.

Reference: SIE Study Guide, Chapter 6: Fundamental Analysis

### NEW QUESTION # 256

A bullish Investor Is most likely to participate in the market using which of the following trading strategies?

- A. Selling equities short
- B. Buying a call option
- C. Buying Treasury bonds
- D. Buying a put option

**Answer: B**

### NEW QUESTION # 257

Which of the following types of securities is an equity?

- A. Exchange-traded note (ETN)
- B. Certificate of deposit (CD)
- **C. Preferred stock**
- D. Commercial paper

**Answer: C**

Explanation:

Equity securities represent ownership in a company, and preferred stock is a type of equity security that pays dividends and has priority over common stock in liquidation.

\* A is correct because preferred stock is an equity security.

\* B is incorrect because commercial paper is a short-term debt security.

\* C is incorrect because certificates of deposit (CDs) are fixed-income banking products.

\* D is incorrect because exchange-traded notes (ETNs) are unsecured debt securities.

Reference: SIE Study Guide, Chapter 5: Corporate Securities

### NEW QUESTION # 258

A municipal securities dealer makes a political contribution of \$990 to a local mayoral candidate. At the end of the quarter, to whom, if anyone, must the dealer report the contribution?

- **A. MSRB**
- B. SEC
- C. FINRA
- D. No disclosure required as the amount is below the reporting threshold

**Answer: A**

Explanation:

Step by Step Explanation:

\* MSRB Rule G-37: Requires municipal securities dealers to report contributions to the MSRB, even if the amount is below the \$1,000 threshold that would trigger a two-year prohibition on municipal business.

\* Incorrect Options:

\* SEC and FINRA: Not involved in reporting political contributions for municipal securities.

References:

\* MSRB Rule G-37 (Political Contributions): MSRB Rule G-37.

### NEW QUESTION # 259

Which of the following must a registered representative disclose as an outside business activity (OBA) on his Form U4?

- A. Trustee on a grandparent's estate account
- B. Volunteer work for a local charity
- C. Board member serving without compensation for a not-for-profit entity
- **D. Board member for a publicly traded company**

**Answer: D**

Explanation:

FINRA Rule 3270 requires registered representatives to disclose all outside business activities that involve compensation or could reasonably be perceived as a conflict of interest.

\* C is correct because serving as a board member for a publicly traded company is a business activity requiring disclosure, even if compensation is indirect.

\* A is incorrect because volunteer work for charities does not require disclosure.

\* B is incorrect because acting as a trustee for a personal or family estate is generally not considered an OBA.

\* D is incorrect because unpaid board membership for a not-for-profit entity does not typically require disclosure.

### NEW QUESTION # 260

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