

SIE的中関連問題 & SIE受験記

```

R1# sh ip ospf int gig0/0
Gig0/0 is up, line protocol is up
Internet Address 10.201.24.8/28, Area 1, Attached via Network Statement
Process ID 100, Router ID 192.168.1.1, Network Type BROADCAST, Cost: 1
Topology-MTID      Cost      Disabled  Shutdown  Topology Name
   0                1         no        no        Base
Transmit Delay is 1 sec, State DR, Priority 1
Designated Router (ID) 192.168.1.1, Interface address 10.201.24.8
No backup designated router on this network
Timer intervals configured, Hello 10, Dead 40, Wait 40, Retransmit 5
oob-resync timeout 40
Hello due in 00:00:07

R2#sh ip ospf int gig0/0
gig0/0 is up, line protocol is up
Internet Address 10.201.24.1/28, Area 1
Process ID 100, Router ID 172.16.1.1, Network Type BROADCAST, Cost: 1
Transmit Delay is 1 sec, State DR, Priority 1
Designated Router (ID) 172.16.1.1, Interface address 10.201.24.1
No backup designated router on this network
Timer intervals configured, Hello 20, Dead 80, Wait 80, Retransmit 5
    
```

ちなみに、JPTesKing SIEの一部をクラウドストレージからダウンロードできます：<https://drive.google.com/open?id=1I2aYq0OzuQYJRpFixRtX9TgQnHk3PMco>

FINRAは、コンピューターで勉強したい人もいれば、携帯電話で勉強したい人もいます。SIEの学習トレントは、iPod、携帯電話、コンピューターなど、ほぼすべての電子デバイスをサポートできるためです。Securities Industry Essentials Exam (SIE)急流を購入することを選択した場合、電子機器で学習教材を使用する機会があります。SIEテストトレントは、あなたが自分自身を改善し、想像を超えた進歩を遂げるのに役立つと信じています。あなたが私たちのSIE学習トレントを購入した場合、私たちのSecurities Industry Essentials Exam (SIE)学習教材があなたを失望させないことを確認することができます

FINRA SIE 認定試験の出題範囲：

トピック	出題範囲
トピック 1	<ul style="list-style-type: none"> Regulatory Entities, Agencies, and Market Participants: This section of the exam measures the skills of Financial Regulatory Analysts and covers the structure, authority, and jurisdiction of key regulatory bodies overseeing financial markets. The SEC's role in enforcing securities regulations is assessed, along with the authority of self-regulatory organizations such as FINRA and MSRB. Candidates must also understand the functions of other financial regulators, including the Department of the Treasury and state regulatory agencies. One key skill evaluated is identifying the jurisdictional scope of different financial regulators.
トピック 2	<ul style="list-style-type: none"> 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.
トピック 3	<ul style="list-style-type: none"> Market Structure: This section of the exam measures the skills of Equity Market Specialists and covers the classification of financial markets, including the primary, secondary, third, and fourth markets. Candidates must demonstrate knowledge of electronic trading, over-the-counter (OTC) markets, and physical exchanges. One specific skill tested is differentiating between various market types and their operational mechanisms.
トピック 4	<ul style="list-style-type: none"> Understanding Trading, Customer Accounts, and Prohibited Activities: This section of the exam measures the skills of Securities Traders and focuses on different trading strategies, settlement processes, and corporate actions. Candidates must demonstrate knowledge of order types, including market, limit, stop, and good-till-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.

SIE受験記 & SIE学習体験談

JPTestKingお客様が問題を解決できるように、当社は常に問題を最優先し、価値あるサービスを提供することを強く求めています。SIE質問トレントは、短時間で試験に合格し、認定資格を取得するのに役立つと確信しています。SIEガイドの質問を理解するのが待ち遠しいかもしれません。他の教材と比較した場合、当社の製品の品質がより高いことをお約束します。現時点では、SIEガイドトレントのデモを無料でダウンロードできます。SIE試験問題をご存知の場合は、ぜひお試しください。

FINRA Securities Industry Essentials Exam (SIE) 認定 SIE 試験問題 (Q407-Q412):

質問 # 407

The process in which the buying firm must pay for the securities and the selling firm must deliver the securities is known as:

- A. A delivery versus payment (DVP) transaction
- B. Clearing the trade
- C. A corporate action
- **D. The settlement of the transaction**

正解: D

解説:

Step by Step Explanation:

* Settlement of the Transaction: Refers to the finalization of a trade, where the buyer pays for the securities, and the seller delivers them. For most securities, regular-way settlement occurs T+2 (trade date plus two business days).

* Incorrect Options:

* Clearing the Trade: Refers to matching trade details to prepare for settlement.

* DVP Transactions: A specific type of settlement involving simultaneous payment and delivery, often used for institutional clients.

* Corporate Action: Refers to events like stock splits or dividend declarations.

References:

* FINRA and SEC Guidelines on Settlement: SEC Settlement Process.

質問 # 408

A husband and wife are interested in purchasing unregistered securities in an SEC Regulation D offering for their joint account. In order to be considered accredited, they must have had a combined annual income for each of the past two years and current expectations for this year of at least what amount?

- **A. \$300,000**
- B. \$400,000
- C. \$200,000
- D. \$500,000

正解: A

解説:

The correct answer is B, \$300,000. Under SEC Regulation D, an accredited investor is defined, in part, by income thresholds. For a married couple (joint income), the requirement is that they must have earned at least

\$300,000 in each of the past two years and have a reasonable expectation of earning at least that amount in the current year.

For individuals filing alone, the threshold is \$200,000, but since this question specifically refers to a husband and wife purchasing jointly, the higher combined income threshold applies.

This rule is designed to ensure that investors participating in private placements (which are not registered with the SEC and carry higher risk and less disclosure) have sufficient financial sophistication and resources to bear potential losses.

Choices A (\$200,000) applies only to individuals, not joint filers. Choices C (\$400,000) and D (\$500,000) exceed the regulatory requirement and are incorrect.

Thus, for a married couple investing jointly in a Regulation D offering, the correct minimum income threshold is \$300,000, making choice B correct.

質問 # 409

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

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

正解: D

解説:

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.

質問 # 410

A customer purchased \$80,000 of Fund XYZ two years ago. He now wants to buy \$50,000 of Fund LMN offered within the same fund family, which offers a \$100,000 breakpoint under right of accumulation. Which of the following statements is true?

- A. The customer will receive a sales charge discount on his next purchase after the account balance of the fund reaches \$100,000.
- B. The customer must sign a new letter of intent to receive the \$100,000 breakpoint on the additional purchase.
- C. Each fund requires contributions of \$100,000 to qualify for a breakpoint.
- **D. The additional investment qualifies for a \$100,000 breakpoint.**

正解: D

解説:

Step by Step Explanation:

* Right of Accumulation: Allows an investor to combine the value of existing investments within the same fund family to qualify for a breakpoint (reduced sales charge) on new purchases.

* Current Holdings: \$80,000

* New Purchase: \$50,000

* Total: \$130,000, qualifying for the \$100,000 breakpoint.

* Incorrect Options:

* B: Contributions from all funds within the same family can be aggregated.

* C: A new letter of intent is unnecessary; right of accumulation applies automatically.

* D: Discounts apply immediately, not retroactively.

FINRA Guidance on Breakpoints: FINRA Breakpoints.

質問 # 411

A customer purchases 100 shares of stock. The customer fears a decline in the share price and would like to protect his investment and minimize loss. Which of the following strategies should the customer employ to lock in his profit?

- A. Sell a put
- B. Sell a call
- **C. Purchase a put**
- D. Purchase a call

正解: C

解説:

Purchasing a put option allows the customer to sell the stock at a predetermined price (the strike price) if the share price declines. This strategy protects against downside risk while maintaining upside potential.

* C is correct because a put acts as insurance, locking in a minimum sale price.

* A is incorrect because selling a put exposes the investor to additional risk if the stock declines.

* B is incorrect because selling a call generates income but does not protect against downside risk.

* D is incorrect because purchasing a call is a bullish strategy unrelated to protecting existing positions.

