

# SIE資格参考書 & SIE専門知識内容



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FINRAのSIE試験は大変です。あなたは復習資料に悩んでいるかもしれません。我々MogiExamの提供するFINRAのSIEソフトを利用して自分の圧力を減少しましょう。我々のチームは複雑な問題集を整理するに通じて、毎年の試験の問題を分析して最高のFINRAのSIEソフトを作成します。今まで、我々は更新を努力しています。ご購入した後の一年間で、FINRAのSIE試験が更新されたら、あなたを理解させます。

テストに関する最も有用で効率的なSIEトレーニング資料を提供するために最善を尽くし、クライアントが効率的に学習できるように複数の機能と直感的な方法を提供します。SIEの有用なテストガイドを学習すれば、時間と労力はほとんどかかりません。合格率とヒット率はどちらも高いため、テストに合格するための障害はほとんどありません。Webで紹介を読んだ後、SIE学習実践ガイドをさらに理解できます。

>> SIE資格参考書 <<

## SIE専門知識内容、SIE日本語版テキスト内容

進歩を遂げ、SIEトレーニング資料の証明書を取得することは、当然のことながら、最新の最も正確な知識を指揮する最も専門的な専門家によるものです。それが、Securities Industry Essentials Exam (SIE)試験準備が市場の大部分を占める理由です。それに、SIE練習教材の利益を待つのではなく、支払い後すぐにダウンロードできるので、今すぐ成功への旅を始めましょう。

## 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"><li>• <b>Market Structure:</b> 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.</li></ul>
トピック 2	<ul style="list-style-type: none"><li>• <b>Regulatory Entities, Agencies, and Market Participants:</b> 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.</li></ul>
トピック 3	<ul style="list-style-type: none"><li>• <b>Understanding Products and Their Risks:</b> 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>

## FINRA Securities Industry Essentials Exam (SIE) 認定 SIE 試験問題 (Q220-Q225):

### 質問 # 220

Beta coefficient is a measure of:

- A. Only the upside participation of an individual stock.
- **B. The volatility of an individual stock relative to the broad stock market.**
- C. The liquidity of an individual stock relative to the sector average.
- D. The volatility of the broad stock market.

正解: B

解説:

The beta coefficient measures the sensitivity of a stock's returns relative to the overall market (usually the S&P 500). A beta of \* 1.0 indicates the stock moves in line with the market.

\* Greater than 1.0 suggests the stock is more volatile than the market.

\* Less than 1.0 suggests the stock is less volatile.

\* D is correct because beta specifically compares the volatility of a stock to the market.

\* A is incorrect as beta does not measure the market's volatility.

\* B is incorrect as beta considers both upside and downside movements.

\* C is incorrect as beta does not measure liquidity.

Reference: SIE Study Guide, Chapter 6: Portfolio Management

### 質問 # 221

When a customer borrows stock from a broker-dealer for purposes of a short sale, the borrowed stock:

- A. Must be returned within five business days.
- B. May be borrowed indefinitely, and the broker-dealer may not demand the return until the customer realizes a profit.
- **C. May be borrowed indefinitely, although the broker-dealer has the right to demand the return at any time.**
- D. Must be returned within seven business days.

正解: C

解説:

A short sale requires the customer to borrow shares because the customer is selling securities not currently owned. The SIE trading

framework classifies this under short positions, margin activity, and trading mechanics. The borrowed shares are not subject to a fixed five-business-day or seven-business-day return deadline merely because they were borrowed for a short sale. Instead, the short position can remain open as long as the broker-dealer can maintain the stock loan and margin requirements are satisfied. However, the lender or broker-dealer may recall the borrowed stock, requiring the customer to cover the short position by purchasing equivalent shares in the market. This is why choice C is correct. Choice D is incorrect because the broker-dealer's right to recall the borrowed securities is not dependent on whether the customer has realized a profit. The official SIE outline specifically includes "Long and short, naked and covered" under Orders and Strategies, and margin-related customer account rules under trading and account compliance. Reference: Section 3.1.1 Orders and Strategies; Section 3.2.1 Account Types and Characteristics; FINRA Rule 4210 Margin Requirements.

#### 質問 # 222

Which of the following rates is the interest rate at which banks borrow and lend to each other on an overnight basis?

- A. Federal funds rate
- B. LIBOR
- C. Prime rate
- D. Discount rate

正解: A

解説:

Step by Step Explanation:

\* Federal Funds Rate: The rate at which depository institutions lend reserves to each other overnight. It is set by the Federal Open Market Committee (FOMC).

\* Other Rates:

\* Prime Rate: Rate banks charge their most creditworthy customers.

\* Discount Rate: Rate the Federal Reserve charges banks for borrowing directly from it.

\* LIBOR: Interbank lending rate used internationally, now being phased out.

Federal Reserve Explanation of Rates: Federal Funds Rate.

#### 質問 # 223

An increase in interest rates has which of the following effects on a municipal bond?

- A. A decrease in the interest rate of the bond
- B. An increase in price
- C. A decrease in price
- D. An increase in the interest rate of the bond

正解: C

解説:

When interest rates rise, existing bond prices generally fall, and this relationship applies to municipal bonds just as it does to Treasuries and corporate bonds. The reason is competitive pricing in the market: newly issued bonds come to market offering higher yields (because prevailing rates are higher). To remain attractive, older bonds with lower coupon rates must trade at discounted prices so that their yield to an investor purchasing them today rises to a competitive level. Therefore, an increase in interest rates typically causes a decrease in the market price of an existing municipal bond, making choice A correct.

Choice B is the opposite of the correct interest-rate/price relationship. Choice C and D are incorrect because the question asks about the effect on a municipal bond already issued. The bond's coupon rate (the stated interest rate on the bond) is fixed at issuance for most standard municipal bonds; market interest rates changing does not retroactively change the bond's coupon. What changes is the bond's market price and therefore its yield in the secondary market.

This concept is core SIE bond math/relationships: price and yield move inversely, and bond sensitivity to rate changes increases with longer maturities and lower coupons (i.e., more duration). Municipal bonds also carry other risks (credit, call/prepayment features, liquidity), but the direct effect of a general rise in interest rates is a market-price decline due to the need to adjust yields to current levels. The SIE outline specifically expects understanding of debt instruments and the relationship between price and interest rates.

#### 質問 # 224

A registered representative wants to open an account for himself at a different financial institution. Under FINRA rules, which of the

following accounts requires prior written consent from his employing broker- dealer?

- A. Mutual fund accounts held directly with the fund company
- B. A 529 savings plan account established for his grandchild
- C. Variable contracts registered under the Investment Company Act
- **D. An investment advisory account in which securities transactions are effected**

正解: D

解説:

Step by Step Explanation:

\* FINRA Rule 3210: Requires registered representatives to obtain written consent from their employing broker-dealer before opening accounts at other financial institutions if securities transactions will occur.

\* Incorrect Options:

\* A, B, and C: These accounts are exempt because they do not involve direct securities transactions requiring monitoring.

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FINRA Rule 3210 (Accounts at Other Institutions); FINRA Rule 3210.

## 質問 # 225

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SIE専門知識内容: <https://www.mogixam.com/SIE-exam.html>

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