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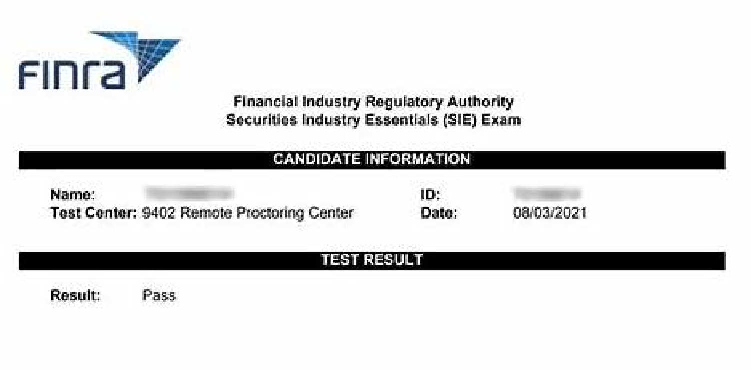
FINRA

Financial Industry Regulatory Authority
Securities Industry Essentials (SIE) Exam

CANDIDATE INFORMATION

Name:
ID:
Test Center: 9402 Remote Proctoring Center
Date: 08/03/2021

TEST RESULT

Result: Pass

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	• 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.
Topic 2	• 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.
Topic 3	• 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.

>> SIE Valid Test Materials <<

SIE Valid Test Materials & Valid Updated SIE Demo Bring you the Best Products for Securities Industry Essentials Exam (SIE)

We at PrepAwayTest give you the techniques and resources to make sure you get the most out of your exam study. We provide preparation material for the Securities Industry Essentials Exam (SIE) exam that will guide you when you sit to study for it. SIE updated questions give you enough confidence to sit for the FINRA exam.If you take enough practice tests on SIE Practice Exam software by PrepAwayTest, you'll be more comfortable when you walk in on FINRA exam day. So, go with SIE exam questions that are prepared under the supervision of industry experts to expand your knowledge base and successfully pass the certification exam on the first attempt.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q109-Q114):

NEW QUESTION # 109
Which of the following statements characterizes the typical relationship between the market value of a municipal bond portfolio and interest rates?

- A. As interest rates decrease, the market value goes up.
- B. As the market value goes down, interest rates decrease.
- C. As the market value goes up, interest rates stay constant.
- D. As interest rates increase, the market value goes up.

Answer: A

Explanation:
Step by Step Explanation:
* Inverse Relationship: Bond prices and interest rates have an inverse relationship. When interest rates fall, existing bonds with higher coupon rates become more valuable, leading to an increase in market value.
* Incorrect Options:
* A: Market value decreases as interest rates increase.
* C: Interest rates and bond values move inversely, not in the same direction.
* D: Interest rates are not constant; they fluctuate over time.
:
SEC Municipal Bonds Overview: SEC Municipal Bonds.

NEW QUESTION # 110
Which of the following strategies is best for mitigating the risk of a concentrated position?

- A. Dividend reinvestment
- B. Use of leverage
- C. Diversification
- D. Dollar-cost averaging

Answer: C

Explanation:
Step by Step Explanation:
* Diversification: Spreads investments across multiple securities, industries, or asset classes to reduce exposure to a single security or sector.
* Other Options:
* Use of Leverage: Increases, not decreases, portfolio risk.
* Dollar-Cost Averaging: Reduces timing risk but does not address concentration.
* Dividend Reinvestment: Enhances returns but does not mitigate concentration risk.
:
SEC Guidance on Diversification: SEC Diversification.

NEW QUESTION # 111
When is it permissible to exercise European-style options contracts?

- A. Only on the day of expiration
- B. Only on the last business day before expiration
- C. Only on the day after expiration
- D. Only on the third Friday of every month

Answer: A

Explanation:
Step by Step Explanation:
* European-Style Options: Can only be exercised on their expiration date, unlike American-style options, which can be exercised any time before expiration.
* Incorrect Options:
* A: Not accurate; the exercise must occur specifically on the expiration date.
* C: Options cannot be exercised after expiration.
* D: The expiration date depends on the option contract, not a specific weekday.
:
Options Clearing Corporation (OCC) Guidelines: OCC European Options.

NEW QUESTION # 112
An investor who lives on a fixed income and is concerned about inflation is most exposed to which of the following risks?

- A. Economic risk
- B. Purchasing power risk
- C. Market risk
- D. Interest rate risk

Answer: B

Explanation:
Purchasing power risk, also known as inflation risk, occurs when inflation reduces the real value of a fixed- income stream. Fixed payments (e.g., bond interest or annuity payments) lose buying power as inflation rises.
* D is correct because inflation directly affects fixed income by eroding purchasing power.
* A is incorrect because market risk relates to fluctuations in market prices, not inflation.
* B is incorrect because economic risk generally refers to broader economic downturns.
* C is incorrect because interest rate risk involves changes in bond prices due to interest rate movements, not inflation.
Reference: SIE Study Guide, Chapter 3: Risks of Fixed-Income Investments

NEW QUESTION # 113
An investor is long 100 shares of XYZ and sells a covered call with a strike price of $50. If XYZ closes at
$45 on the day of expiration, the investor should expect:

- A. a margin call on the expiring contract requiring a deposit of additional funds.
- B. that the option to be exercised and the stock to be called away.
- C. that the covered call will expire and the investor will still be long 100 shares of XYZ.
- D. to receive an additional 100 shares since the contract expired out of the money.

Answer: C

Explanation:
This scenario describes a covered call: the investor owns the underlying stock (long 100 shares) and has sold (written) a call option against it. A call option gives its holder the right to buy the stock at the strike price ($50) before expiration. On expiration day, the key question is whether the option is in the money (stock price above strike) or out of the money (stock price below strike). If XYZ closes at $45, the call option with a $50 strike is out of the money because exercising the right to buy at $50 makes no economic sense when the market price is $45. As a result, the call will typically expire worthless, and the writer keeps the premium collected. The investor remains long the original 100 shares, which is exactly choice B.
Choice A is incorrect because assignment/exercise is most likely when the option is in the money at expiration (and sometimes slightly in the money intraday), not when it is out of the money. Choice C is incorrect because standard listed equity options do not create a "margin call on the expiring contract" simply because they expire; margin requirements are about risk exposure while positions are open, and here the position is covered by stock ownership. Choice D is incorrect because a call option expiring out of the money does not deliver shares to the writer; it simply expires and disappears.
This tests core SIE options mechanics: moneyness, expiration outcomes, assignment likelihood, and covered vs. uncovered risk.

NEW QUESTION # 114
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