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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	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.
Topic 2	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.
Topic 3	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 4	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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q129-Q134):

NEW QUESTION # 129

Which of the following responses best describes how member firms are required to retain electronic correspondence and internal communications of associated persons?

- A. In the firm's cloud storage
- B. In hard copy
- C. In a non-rewriteable format
- D. On the firm's server

Answer: C

Explanation:

FINRA Rule 4511 requires member firms to retain records, including electronic communications, in a non-rewriteable, non-erasable format (often referred to as WORM: Write Once, Read Many). This ensures that records cannot be altered or deleted once stored.

* D is correct because firms must store records in a tamper-proof format.

* A, B, and C are incorrect because these formats do not guarantee compliance with the tamper-proof requirements set forth by FINRA and the SEC.

NEW QUESTION # 130

A city has appointed Broker-dealer XYZ to act as lead underwriter for its upcoming issuance of municipal bonds. This is an example of which of the following types of offering?

- A. A negotiated offering
- B. A follow-on offering
- C. A best-efforts offering
- D. A competitive offering

Answer: A

Explanation:

Step by Step Explanation:

* Negotiated Offering: Occurs when the issuer directly selects an underwriter and negotiates terms.

Common in municipal bond issuances.

* Incorrect Options:

* A: Follow-on offerings apply to subsequent issuances of equity securities.

* C: Competitive offerings involve multiple underwriters submitting bids.

* D: Best-efforts offerings do not guarantee the sale of all securities.

References:

* MSRB Overview of Municipal Offerings: MSRB Offerings.

NEW QUESTION # 131

A market maker quotes the market on an NMS equity security as 39.05 - 39.15 [5x10]. Which of the following orders is the market maker required to fill?

- A. A sell stop order for 500 shares at \$39.00
- B. A sell order for 300 shares at \$39.05
- C. A buy order for 2,000 shares at \$39.15
- D. A buy order for 1,000 shares at \$39.10

Answer: C

NEW QUESTION # 132

An associated person at a member firm receives a complaint from a customer involving allegations of forgery. Once the complaint is received, which of the following actions is required?

- A. The member firm is not required to report the event to FINRA but must maintain a file of the complaint for four years.
- B. The member firm must complete arbitration to resolve the complaint with the customer before filing a report with FINRA.
- **C. The member firm must report the event promptly to FINRA.**
- D. The member firm must have a principal review the complaint and determine if the forgery occurred before filing a report with FINRA.

Answer: C

Explanation:

Step by Step Explanation:

* FINRA Rule 4530: Requires member firms to report certain events, including allegations of forgery, to FINRA promptly.

* Incorrect Options:

* Option B: Maintaining a record does not substitute for required reporting.

* Option C: Arbitration isn't required before reporting.

* Option D: Reporting is mandatory irrespective of internal investigations.

References:

* FINRA Rule 4530 (Reporting Requirements): FINRA Rule 4530.

NEW QUESTION # 133

A customer wants to establish an account for the benefit of his grandchildren. He states to his registered representative that he wants to be able to control the distribution of the assets and direct how the account will be invested. Which of the following account types is most appropriate?

- A. Certificate of deposit (CD)
- B. 529 savings plan
- **C. Trust**
- D. UTMA

Answer: C

Explanation:

Step by Step Explanation:

* Trust Accounts: Provide the account owner (trustee) full control over distributions and investment decisions. Suitable for complex estate planning needs.

* Incorrect Options:

* UTMA: Transfers control to the minor upon reaching the age of majority.

* 529 Plan: Used for educational savings, with limited control over distributions.

* CD: A fixed-term deposit, not an account type for managing distributions.

References:

* SEC and FINRA Guidelines on Trusts: FINRA Trust Accounts.

NEW QUESTION # 134

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