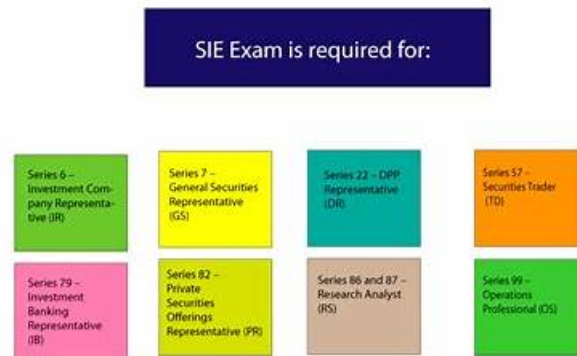


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none">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.
Topic 2	<ul style="list-style-type: none">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	<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.
Topic 4	<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.

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materials online. Exam practice questions and answers Actual4Exams provide for all people to participate in the IT industry certification exam supply all the necessary information. Besides, it can all the time provide what you want. Buying all our information can guarantee you to pass your first FINRA Certification SIE Exam.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q15-Q20):

NEW QUESTION # 15

A registered representative (RR) owns 500 shares of a thinly traded security. A customer of the firm calls the RR to place a sell order for 10,000 shares of the same security. The RR sells his shares before entering the customer's order to sell. Which of the following activities has the RR just engaged in?

- A. Insider trading
- B. Selling away
- C. Market manipulation
- **D. Front running**

Answer: D

Explanation:

Step by Step Explanation:

* Front Running Definition: Occurs when a broker executes a personal trade ahead of a customer's order to profit from the anticipated market movement.

* Thinly Traded Security: Front running is particularly impactful in low-liquidity securities.

* Other Options:

* Selling Away: Involves unapproved securities transactions outside the employing firm.

* Insider Trading: Involves trading on material non-public information.

* Market Manipulation: Encompasses activities like wash trading or spoofing, not specific to this scenario.

:

FINRA Rule 5270 (Front Running of Block Transactions): FINRA Rule 5270.

NEW QUESTION # 16

Which of the following responses best describes a short sale?

- A. A sale of securities that the investor had purchased in his cash account but had not yet paid for
- B. A sale of securities that results in an unsecured debit balance in the investor's account
- C. A sale of securities that results in a loss
- **D. A sale of securities that the investor does not own**

Answer: D

Explanation:

Step by Step Explanation:

* Short Sale Definition: Involves selling borrowed securities with the expectation of repurchasing them at a lower price.

* Investor Ownership: Short sales do not involve securities already owned by the seller.

* Other Options: None of the other choices accurately define a short sale.

References:

* SEC Regulation SHO (Short Selling): SEC Short Sales.

NEW QUESTION # 17

The provision that allows a bond issuer to purchase bonds from customers prior to the maturity date on the bond is known as a:

- A. Put
- **B. Call**
- C. Defeasement
- D. Conversion

Answer: B

Explanation:

Step by Step Explanation:

- * Call Provision: This allows the issuer to redeem bonds before their maturity date, usually at a premium to the par value, which benefits the issuer in a declining interest rate environment.
- * Put Provision: Allows bondholders, not issuers, to sell the bond back to the issuer.
- * Conversion: Relates to convertible bonds that can be converted into equity.
- * Defeasement: Refers to the removal of a bond issuer's obligation by setting aside cash or securities to cover the debt.

References:

- * SEC Guide on Callable Bonds: SEC Callable Bonds.

NEW QUESTION # 18

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

Answer: D

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.

:

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

NEW QUESTION # 19

A real estate investment trust (REIT) is required to invest what percentage of total assets in real-estate-related assets to maintain favorable tax treatment?

- A. 100% of assets
- B. At least 50% of total assets
- C. At least 90% of total assets
- **D. At least 75% of total assets**

Answer: D

Explanation:

Step by Step Explanation:

* REIT Requirements: REITs must invest at least 75% of their total assets in real estate to qualify for favorable tax treatment under IRS regulations.

* 90% Rule: Refers to the distribution requirement for taxable income, not asset allocation.

* 100% Rule: There is no requirement to allocate 100% of assets to real estate.

References:

- * IRS Publication 542 (Real Estate Investment Trusts): IRS REIT Guidelines.

NEW QUESTION # 20

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