

Free PDF 2026 FINRA Reliable SIE: Updated Securities Industry Essentials Exam (SIE) Testkings



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FINRA SIE Exam Syllabus Topics:

| Topic | Details |
|---------|--|
| Topic 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. |
| Topic 2 | <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. |
| Topic 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. |
| Topic 4 | <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. |

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q132-Q137):

NEW QUESTION # 132

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

Answer: B

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.

:

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

NEW QUESTION # 133

A registered representative who is terminated from a broker-dealer must notify FINRA of a residential address change for what period of time after termination?

- **A. Two years**
- B. Three years
- C. One year
- D. Six years

Answer: A

Explanation:

Step by Step Explanation:

* FINRA Rule 1122: Requires that registered representatives update their residential address with FINRA for two years post-termination.

* Purpose: This ensures accurate records for potential regulatory inquiries during the statutory two-year period when a terminated individual remains subject to FINRA's jurisdiction.

References:

* FINRA Rule 1122 (Filing False or Misleading Information): FINRA Rule 1122.

NEW QUESTION # 134

Which of the following statements is true regarding 529 savings plans?

- A. 529 contributions are tax deductible in all states.
- B. There are income limitations for contributing to a 529 savings plan.
- **C. Assets are transferable to another 529 savings plan tax-free if the new beneficiary is a family member of the current beneficiary.**
- D. The account beneficiary has control over the assets in a 529 savings plan.

Answer: C

Explanation:

529 savings plans are state-sponsored education savings accounts that offer tax-advantaged growth. Key features include:

- * Contributions are not federally tax deductible (some states offer state-level deductions).
- * No income limitations for contributions.
- * The account owner, not the beneficiary, controls the plan.
- * Assets can be transferred tax-free to another family member's 529 plan.
- * D is correct because tax-free rollovers are allowed for family members of the current beneficiary.
- * A is incorrect as contributions are not universally tax deductible.
- * B is incorrect as there are no income limitations for contributing.
- * C is incorrect because the account owner, not the beneficiary, controls the assets.

Reference: IRS Publication 970: Tax Benefits for Education

NEW QUESTION # 135

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

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

Answer: D

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.

Reference: FINRA Rule 4511 (General Requirements for Books and Records)

NEW QUESTION # 136

Which of the following statements is true regarding 529 savings plans?

- A. 529 contributions are tax deductible in all states.
- B. There are income limitations for contributing to a 529 savings plan.
- **C. Assets are transferable to another 529 savings plan tax-free if the new beneficiary is a family member of the current beneficiary.**
- D. The account beneficiary has control over the assets in a 529 savings plan.

Answer: C

Explanation:

529 savings plans are state-sponsored education savings accounts that offer tax-advantaged growth. Key features include:

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- * Assets can be transferred tax-free to another family member's 529 plan.
- * D is correct because tax-free rollovers are allowed for family members of the current beneficiary.
- * A is incorrect as contributions are not universally tax deductible.
- * B is incorrect as there are no income limitations for contributing.
- * C is incorrect because the account owner, not the beneficiary, controls the assets.

NEW QUESTION # 137

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