

SIE関連資格試験対応、SIE最新関連参考書



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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"> 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.
トピック 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.
トピック 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.

>> SIE関連資格試験対応 <<

SIE最新関連参考書、SIE認定資格試験問題集

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FINRA Securities Industry Essentials Exam (SIE) 認定 SIE 試験問題 (Q60-Q65):

質問 # 60

A customer instructs his registered representative (RR) to purchase \$35,000 Class A shares of Growth Fund ABC. As the RR enters the order, she overhears her customer speaking to his wife about purchasing \$100,000 of Emerging Markets Fund ABC once he gets his year-end bonus. Which of the following statements is true about receiving a breakpoint discount for the current purchase?

- A. It is available due to right of accumulation.
- B. It is not available as the purchase amount is less than the \$50,000 initial breakpoint level.
- C. It is not available as the customer has not made the \$100,000 Emerging Markets Fund purchase.
- **D. It is available if the customer signs a letter of intent.**

正解: D

解説:

The correct answer is B, It is available if the customer signs a letter of intent (LOI). Breakpoint discounts for Class A mutual fund shares reduce the sales charge when larger investment thresholds are met.

Step-by-step, the customer is currently investing \$35,000, which is below the typical first breakpoint (often \$50,000). However, the RR overhears the customer planning to invest an additional \$100,000 in the same fund family in the near future. This is key.

A Letter of Intent (LOI) allows the investor to commit to investing a larger total amount (e.g., \$135,000) over a specified period (usually 13 months). By signing an LOI, the investor can immediately receive the reduced sales charge based on the total intended investment, even though the full amount has not yet been invested.

Choice A is incorrect because rights of accumulation apply only to existing holdings, not future intended purchases. Choice C is incorrect because breakpoints can still be achieved through LOI. Choice D is incorrect because the future purchase does not need to be completed yet-only committed via LOI.

Thus, by signing a Letter of Intent, the investor qualifies for the breakpoint discount now, making Answer B correct.

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質問 # 61

If a corporation calls its bonds at 107.45, it will pay:

- A. \$1,000.00 per bond plus \$74.50 interest
- **B. \$1,074.50 per bond plus accrued interest to the call date**
- C. \$1,000.00 per bond plus \$107.45 interest
- D. \$1,074.50 per bond less accrued interest to the call date

正解: B

解説:

Bond prices are quoted as a percentage of par. A call price of 107.45 means 107.45% of the bond's \$1,000 par value. Multiplying \$1,000 by 107.45% produces a call price of \$1,074.50. When an issuer calls a bond, it pays the call price plus any accrued interest owed up to the call date. Choice C is correct. Choice A incorrectly treats \$74.50 as interest rather than the call premium over par.

Choice B incorrectly treats 107.45 as an interest amount instead of a quoted percentage of par. Choice D is incorrect because accrued interest is paid to the bondholder; it is not subtracted from the call price. Callable bonds give the issuer the right to redeem the bonds before maturity, usually when doing so is economically favorable, such as when interest rates decline.

The SIE outline includes debt instruments, par value, coupon value, yield, callable features, and the relationship between price and interest rates. This question tests both bond quote conversion and call settlement mechanics. Reference: Understanding Products and Their Risks; Debt Instruments; Par Value; Callable Features.

質問 # 62

Which of the following statements is true regarding the ownership of investment company shares held as tenants in common?

- A. All tenants must sign redemption requests.
- B. Any income is distributed evenly among the tenants.
- **C. Each tenant has a fractional interest in the investment.**
- D. Upon the death of a tenant, all shares in the account are taxable in the estate of the deceased.

正解: C

解説:

Step by Step Explanation:

* Tenants in Common: In this arrangement, each tenant owns a fractional interest in the account's assets, which can be unequal depending on the agreement.

* Income Distribution: Income is distributed based on ownership percentage, not necessarily equally.

* Redemption Requests: Only the owner of the fractional interest has authority to request redemption for their portion.

* Estate Taxation: Upon the death of a tenant, only their fractional interest is taxable in their estate.

References:

* FINRA Guidelines on Joint Accounts: FINRA Joint Accounts.

質問 # 63

Which of the following statements is true of an index exchange-traded fund (ETF)?

- **A. Passive ETFs will typically have lower fees than those associated with actively managed ETFs.**
- B. It offers an opportunity to outperform the index it tracks.
- C. It has a high portfolio turnover ratio.
- D. It is priced once daily, generally at the market close.

正解: A

解説:

Passive ETFs track an index and require minimal management, leading to lower expenses compared to actively managed ETFs.

* D is correct because passive ETFs are cost-efficient and have lower fees.

* A is incorrect because index ETFs have low turnover since they replicate an index.

* B is incorrect because ETFs are priced continuously throughout the trading day.

* C is incorrect as ETFs aim to match, not outperform, the index.

Reference: SIE Study Guide, Chapter 7: Exchange-Traded Funds

質問 # 64

Which of the following elements is included in the cost of the Class A shares an investor purchases in an open- end mutual fund?

- A. Net asset value from the prior day's close of business
- B. Net asset value at the close of business the following day
- **C. Front-end load**
- D. Back-end load

正解: C

解説:

Class A mutual fund shares typically include a front-end sales charge, also called a front-end load. The investor pays this charge at the time of purchase, and it is included in the public offering price. The public offering price equals the net asset value plus the applicable sales charge. Choice B is correct. A back-end load or contingent deferred sales charge is more commonly associated with Class B shares or certain other share classes, not the defining cost element of Class A shares. Choice C is incorrect because mutual funds use forward pricing; orders are priced at the next calculated net asset value after the order is received, not the prior day's NAV. Choice D is also incorrect because the relevant price is the next calculated NAV after receipt of the order, not necessarily the following day's close. The SIE outline includes open-end funds, share classes, net asset value, loads, sales charges, and costs and fees. This question tests both mutual fund share-class structure and the distinction between front-end and deferred sales charges. Reference: Section 2.1.4 Packaged Products.

質問 # 65

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