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Financial Industry Regulatory Authority
Securities Industry Essentials (SIE) Exam

CANDIDATE INFORMATION	
Name: [REDACTED]	ID: [REDACTED]
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	<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">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"> • 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 5	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q127-Q132):

NEW QUESTION # 127

A customer has a stock position that has increased in value since the time he purchased it. Which of the following terms describes his current situation?

- A. Out of the money
- B. Interest income
- C. Operating profit
- **D. Unrealized gain**

Answer: D

Explanation:

An unrealized gain occurs when the value of an asset increases but has not yet been sold. If the customer sells the stock, the unrealized gain becomes a realized gain.

* B is correct because the increase in value without selling the stock is an unrealized gain.

* A is incorrect because interest income refers to earnings from fixed-income securities.

* C is incorrect because operating profit relates to a company's earnings, not an investor's portfolio.

* D is incorrect because "out of the money" is a term used for options, not stocks.

ce: SIE Study Guide, Chapter 6: Stock Valuations

NEW QUESTION # 128

A grandfather establishes a Uniform Transfers to Minors Act (UTMA) custodial account for his grandson and appoints an attorney as custodian. Which of the following individuals owns the account?

- A. Attorney
- B. Grandfather
- **C. Grandson**
- D. Grandson's parent

Answer: C

Explanation:

In a UTMA account, the minor is the legal owner of the account. The custodian (in this case, the attorney) manages the account until the minor reaches the age of majority specified by state law.

* C is correct because the grandson (the minor) is the account's legal owner.

* A is incorrect because the attorney is the custodian, not the owner.

* B is incorrect because the grandfather established the account but does not own it.

* D is incorrect because the parent does not have ownership unless explicitly named as the custodian.

Reference: SIE Study Guide, Chapter 9: Custodial Accounts

NEW QUESTION # 129

Which of the following statements is true about a corporation's balance sheet?

- A. It summarizes a company's revenues and expenses for the firm's fiscal year.
- B. It is also called a profit and loss statement.
- C. It reports where a corporation's cash is being generated and where its cash is being spent for a specific period.
- **D. It lists a company's assets, liabilities, and net worth on the date the statement was prepared.**

Answer: D

Explanation:

Step by Step Explanation:

* Balance Sheet Definition: Shows a company's financial position at a specific point in time, listing assets, liabilities, and shareholders' equity (net worth).

* Other Financial Statements:

* Profit and Loss Statement: Summarizes revenues and expenses over a period.

* Cash Flow Statement: Tracks cash inflows and outflows.

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SEC Guide to Financial Statements: SEC Financials.

NEW QUESTION # 130

Which of the following characteristics best describes a benefit of a variable annuity subaccount?

- A. The account is held at a broker-dealer that is separate from the insurance company, thereby allowing tax-deferred investments in all types of securities products.
- B. The account is managed by a third-party custodian and is, therefore, subject to lower management fees than those charged by the insurance company.
- C. The account represents the indebtedness of the insurance company that is subordinated to the claims of general creditors and, therefore, offers investors a higher rate of return.
- **D. The account is held separately from the insurance company's general account and, therefore, is protected from the claims of general creditors of the insurance company.**

Answer: D

Explanation:

Variable annuity subaccounts are held in separate accounts, distinct from the insurance company's general account. This separation protects subaccount assets from claims by creditors in case the insurance company becomes insolvent.

* C is correct because the separate account ensures creditor protection.

* A is incorrect as management fees for variable annuities are often higher.

* B is incorrect because the subaccounts are not held at broker-dealers.

* D is incorrect as subaccounts do not represent subordinated debt.

Reference: SIE Study Guide, Chapter 7: Annuities

NEW QUESTION # 131

Which of the following risks are associated with Treasury securities?

- A. Credit risk
- B. Prepayment risk
- **C. Interest rate risk**
- D. Liquidity risk

Answer: C

Explanation:

Step by Step Explanation:

* Interest Rate Risk: Treasury securities are sensitive to changes in interest rates. When rates rise, Treasury prices fall, exposing investors to price risk.

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