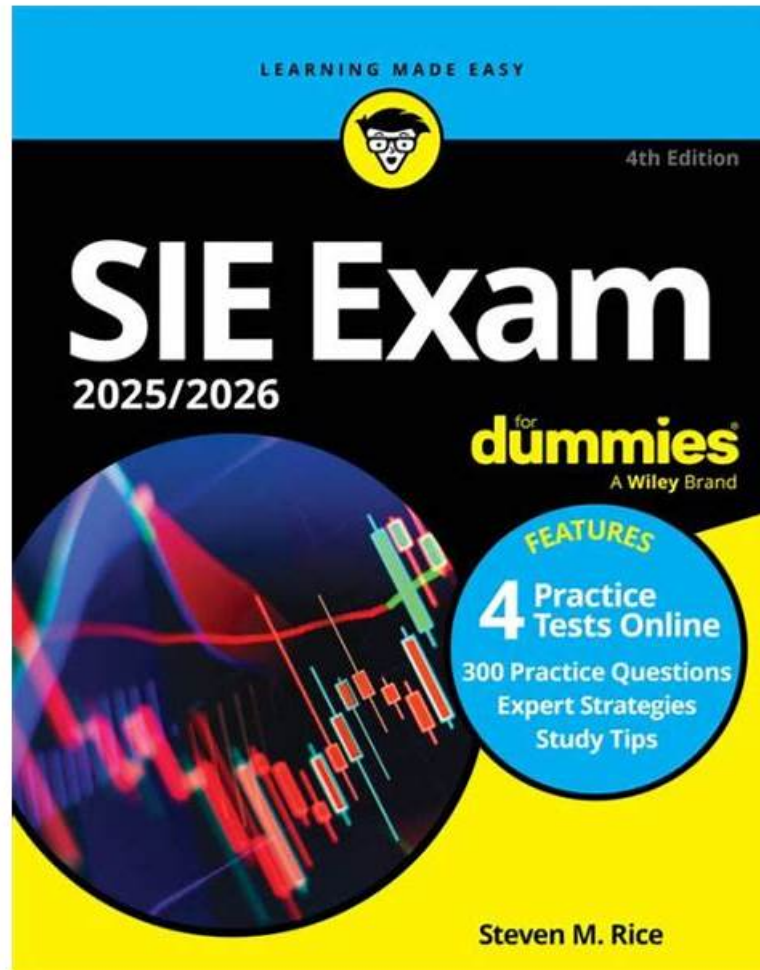


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	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 2	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	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 4	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 5	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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q117-Q122):

NEW QUESTION # 117

If an investor is bullish on ABC, which of the following actions will he most likely take?

- A. Buy ABC puts
- **B. Buy ABC stock**
- C. Sell ABC calls
- D. Sell ABC stock short

Answer: B

Explanation:

Step by Step Explanation:

* Bullish Position: Buying ABC stock aligns with the expectation that the stock's price will rise, allowing the investor to profit.

* Incorrect Options:

* A: Buying puts is a bearish strategy.

* C: Selling calls benefits from stable or declining prices.

* D: Selling short is a bearish strategy anticipating a price drop.

References:

* FINRA Guidance on Market Strategies: FINRA Trading Basics.

NEW QUESTION # 118

A retail investor owns shares of Mutual Fund ABC that paid a \$0.25 dividend on September 1 and closed at \$10.00. What is the opening price once this fund trades on the ex-dividend date?

- A. \$9.25
- B. \$10.25
- C. \$9.75
- D. \$10.00

Answer: C

Explanation:

Step by Step Explanation:

* Ex-Dividend Date Pricing: On the ex-dividend date, the mutual fund's price is adjusted downward by the amount of the dividend.

* Closing Price: \$10.00

* Dividend: \$0.25

* Adjusted Opening Price: $\$10.00 - \$0.25 = \$9.75$.

* Incorrect Options:

* A: \$9.25 subtracts more than the dividend amount.

* C: \$10.00 does not reflect the dividend adjustment.

* D: \$10.25 adds to the price rather than subtracting the dividend.

References:

* SEC Guidance on Mutual Fund Pricing: SEC Mutual Funds.

NEW QUESTION # 119

Executing trades using the delivery versus payment (DVP) settlement process requires the buyer to make a cash payment by which of the following deadlines?

- A. On the 5th business day after execution
- B. By the agreed-upon settlement date with the issuer
- C. Before or at the same time as securities being delivered
- D. No later than 3 days after the securities are delivered

Answer: C

Explanation:

Step by Step Explanation:

* DVP Process: Ensures that payment occurs simultaneously with the delivery of securities, mitigating counterparty risk. Cash payment is made before or at the time of delivery.

* Incorrect Options:

* A: The T+5 timeline is not standard for DVP.

* C: Payment must occur at delivery, not after.

* D: Settlement date agreements with the issuer are irrelevant for DVP.

References:

* FINRA Guidelines on DVP/RVP Transactions: FINRA DVP Info.

NEW QUESTION # 120

Which of the following products is the most appropriate class of investments for a customer looking for income and capital gains?

- A. Treasury Separate Trading of Registered Interest and Principal of Securities (STRIPS)
- B. A blue-chip stock mutual fund
- C. A growth stock
- D. A money market account

Answer: B

Explanation:

Step by Step Explanation:

* Blue-Chip Stock Mutual Funds: Invest in large, established companies that typically provide stable dividend income and potential

for capital appreciation.

* Incorrect Options:

* A: Growth stocks prioritize capital appreciation, not income.

* B: Money market accounts focus on safety and liquidity, not capital gains.

* D: STRIPS provide fixed income without capital gains potential.

References:

* FINRA Investment Product Education: FINRA Investment Guidance.

NEW QUESTION # 121

A registered representative (RR) at a member firm is the subject of a statutory disqualification. Which of the following statements is true?

- A. The RR is prohibited from soliciting business but is permitted to accept unsolicited orders.
- B. The RR is prohibited from employment by a member firm in any registered capacity but is permitted to be employed in an unregistered capacity.
- **C. The RR is prohibited from any association or employment with a member firm unless he obtains a waiver.**
- D. A statutory disqualification, although reportable to CRD, does not affect employment in the securities industry.

Answer: C

Explanation:

A statutory disqualification occurs if an RR has been convicted of certain crimes, violated securities laws, or been barred by a regulatory authority. Under FINRA rules, the RR cannot associate with a member firm in any capacity unless they obtain a waiver from FINRA.

* B is correct because the disqualified person must obtain a waiver to continue employment.

* A and C are incorrect because the RR is not allowed to associate with the firm in any capacity without a waiver.

* D is incorrect because statutory disqualification directly affects the RR's employment status.

NEW QUESTION # 122

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