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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 3	<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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q77-Q82):

NEW QUESTION # 77

A customer receives a confirmation that discloses the firm has acted in a principal capacity. Which of the following statements is the best explanation for this disclosure?

- A. The firm is acting as an intermediary between the customer and another customer.
- **B. The firm is selling to the customer from its inventory.**
- C. The firm is acting as an intermediary between the customer and an unrelated firm.
- D. The firm matched the customer's purchase with a sell order listed on an electronic communication network (ECN).

Answer: B

Explanation:

When a firm acts in a principal capacity, it trades securities for its own account, buying or selling directly to or from its inventory. The firm's role differs from an agency capacity, where it acts as an intermediary.

* A is correct because principal capacity involves selling directly from the firm's inventory.

* B, C, and D are incorrect because these scenarios describe agency transactions, where the firm facilitates trades between two parties.

NEW QUESTION # 78

SEC regulations permit a company to issue securities exempted from registration requirements of the Securities Act of 1933 under which of the following conditions?

- **A. Offerings with no more than 35 non-accredited investors and an unlimited number of accredited investors**
- B. Offerings sold with an aggregate price exceeding \$5 million
- C. Offerings sold inside of the U.S. to non-U.S. persons
- D. Offerings sold with no more than 40 accredited investors

Answer: A

Explanation:

Step by Step Explanation:

* Regulation D (Rule 506(b)): Allows offerings to an unlimited number of accredited investors and up to 35 non-accredited investors, provided certain disclosure requirements are met.

* Incorrect Options:

* A: Refers to Regulation S, which governs offshore offerings, not domestic exemptions.

* B: There is no 40-investor limit in Regulation D.

* C: The \$5 million limit applies to Rule 504, not Rule 506(b).

References:

* SEC Regulation D: SEC Regulation D.

NEW QUESTION # 79

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 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.
- **C. 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.**

- D. The account is managed by a third-party custodian and is, therefore, subject to lower management fees than those charged by the insurance company.

Answer: C

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.

NEW QUESTION # 80

Class A and Class C shares of a mutual fund differ in which of the following ways?

- A. When the customer is permitted to purchase
- **B. The expense ratio**
- C. The net asset value (NAV)
- D. The underlying investments

Answer: B

Explanation:

Step by Step Explanation:

* Expense Ratio: Class A shares typically have lower ongoing expense ratios but higher front-end sales charges. Class C shares often have higher ongoing expense ratios but no front-end charges.

* Incorrect Options:

- * B: NAV is determined daily and does not vary by share class.
- * C: All share classes invest in the same underlying portfolio.
- * D: Purchase timing is the same for all share classes.

References:

* SEC Guidance on Mutual Fund Share Classes: SEC Fund Classes.

NEW QUESTION # 81

When are registered persons required to fulfill their Continuing Education (CE) Regulatory Element requirement?

- A. Upon the receipt of a customer complaint
- **B. After the initial three-year requirement and then every two years**
- C. Semiannually
- D. Annually

Answer: B

Explanation:

FINRA's Continuing Education (CE) requirements include the Regulatory Element, which must be completed:

- * Within 120 days of the second anniversary of a registered representative's initial registration.
- * Every three years thereafter (changed to every two years as of 2023).
- * C is correct because registered persons must complete the CE Regulatory Element after their initial requirement and then every two years.
- * A and B are incorrect because CE is not required annually or semiannually.
- * D is incorrect because CE is not tied to customer complaints.

Reference: FINRA Rule 1240 (Continuing Education Requirements)

NEW QUESTION # 82

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