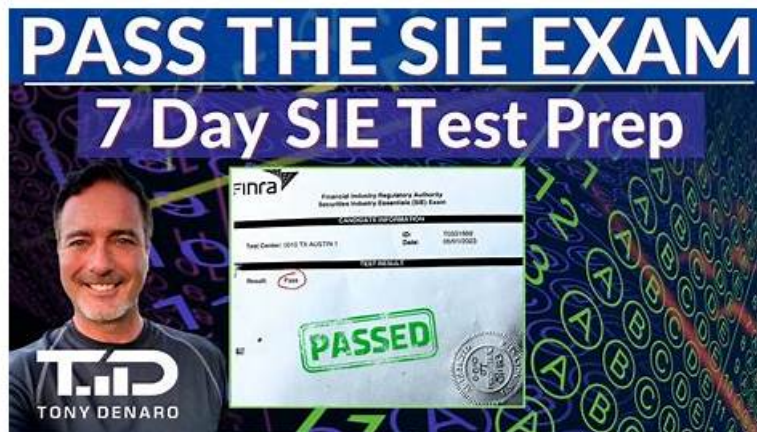


# Pass-Sure New SIE Test Sims–Pass SIE First Attempt



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The SIE exam is one of the most valuable certification exams. The Securities Industry Essentials Exam (SIE) (SIE) certification exam opens a door for beginners or experienced 2Pass4sure professionals to enhance in-demand skills and gain knowledge. SIE exam credential is proof of candidates' expertise and knowledge. After getting success in the Securities Industry Essentials Exam (SIE) (SIE) certification exam, candidates can put their careers on the fast route and achieve their goals in a short period of time.

## FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> <li>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.</li> </ul>
Topic 2	<ul style="list-style-type: none"> <li>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.</li> </ul>
Topic 3	<ul style="list-style-type: none"> <li>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.</li> </ul>
Topic 4	<ul style="list-style-type: none"> <li>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.</li> </ul>
Topic 5	<ul style="list-style-type: none"> <li>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.</li> </ul>

## Exam SIE Pattern - SIE Dumps Guide

Our online resources and events enable you to focus on learning just what you want on your timeframe. You get access to every SIE exams files and there continuously update our SIE Study Materials; these exam updates are supplied free of charge to our valued customers. Get the best SIE exam Training; as you study from our exam-files.

### FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q189-Q194):

#### NEW QUESTION # 189

A registered representative (RR) at Broker-dealer ABC receives a large sell order from a customer. The RR places an order in his own account to sell shares of the same security prior to placing the customer 's order.

Which of the following best describes this type of activity?

- A. Short selling
- B. Churning
- C. Front running
- D. Short-term trading

**Answer: C**

Explanation:

The correct answer is C, Front running. Front running is a serious violation of FINRA rules and ethical standards. It occurs when a registered representative or broker trades a security in their own account ahead of a large customer order, with the expectation that the customer's trade will impact the market price.

In this scenario, the RR knows that a large sell order is about to be executed, which will likely drive the price of the security down. By selling shares in his own account before executing the customer's order, the RR is attempting to avoid losses or profit from the anticipated price movement. This is considered misuse of material, non-public information and is strictly prohibited.

Choice A, Churning, refers to excessive trading in a customer's account to generate commissions. Choice B, Short selling, is simply the act of selling borrowed securities and is not inherently unethical. Choice D, Short- term trading is not prohibited by itself unless it violates suitability or other rules.

Front running undermines market integrity and violates the duty of fair dealing owed to customers. Therefore, it is both unethical and illegal, making choice C the correct answer.

#### NEW QUESTION # 190

Which of the following transactions gives a U.S. citizen the most efficient means to invest in the stock of an overseas corporation that trades only on a foreign exchange?

- A. Purchase an option on the stock on a domestic exchange
- B. Purchase a U.S.-based mutual fund that invests in foreign stocks
- C. Purchase an American Depositary Receipt (ADR) on a domestic exchange
- D. Purchase an ETF on the foreign exchange

**Answer: C**

Explanation:

American Depositary Receipts (ADRs) allow U.S. investors to efficiently invest in foreign corporations without the need to trade on foreign exchanges. ADRs are traded on U.S. exchanges and represent shares of foreign companies.

\* D is correct because ADRs are designed for this purpose, simplifying currency exchange and reporting requirements for U.S. investors.

\* A is incorrect because directly purchasing an ETF on a foreign exchange requires additional steps, such as foreign account setup.

\* B is incorrect because options are derivative products, not direct investments in the stock.

\* C is less efficient because mutual funds may not provide direct exposure to the specific corporation.

Reference: SIE Study Guide, Chapter 7: ADRs

### NEW QUESTION # 191

A bond with a par value of \$1,000 that is backed by the taxing power of a local government is known as:

- A. A revenue bond
- B. A corporate bond
- C. A general obligation (GO) bond
- D. A Treasury bond

**Answer: C**

Explanation:

Step by Step Explanation:

\* General Obligation (GO) Bonds: Backed by the full faith and credit of the issuing municipality, relying on its taxing power for repayment.

\* Revenue Bonds: Supported by revenues from a specific project or source.

\* Treasury Bonds: Issued by the federal government.

\* Corporate Bonds: Issued by corporations, not municipalities.

SEC Municipal Bond Guide: SEC GO Bonds.

### NEW QUESTION # 192

An investor writes a call option with a strike price of \$35.00 on underlying XYZ stock with an expiration date of March 15. On March 15, XYZ is priced at \$36.50. The call option:

- A. is in the money by \$1.50.
- B. is out of the money by \$1.50.
- C. will expire worthless.
- D. is at the money.

**Answer: A**

### NEW QUESTION # 193

According to FINRA rules, under which of the following circumstances, if any, is a member firm permitted to send gifts to a registered representative of another member firm?

- A. When no single gift exceeds \$100 in value and the maximum value of all gifts per year equals \$250
- B. When no single gift exceeds \$100 and there is no limit on the number of gifts
- C. Under no circumstances
- D. When the value of all gifts during a period of one year does not exceed \$100

**Answer: D**

Explanation:

Step by Step Explanation:

\* FINRA Rule 3220: This rule limits gifts to \$100 per person annually to prevent conflicts of interest.

\* Aggregate Limit: There is no provision for exceeding the \$100 annual limit, regardless of the number of gifts.

\* Purpose: The rule ensures that gifts do not influence decisions or create unethical relationships.

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FINRA Rule 3220 (Influencing or Rewarding Employees of Others): FINRA Rule 3220.

### NEW QUESTION # 194

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Being respected and gaining a high social status maybe what you always long for. But if you want to achieve that you must own good abilities and profound knowledge in some certain area. Passing the SIE certification can prove that and help you realize your goal and if you buy our SIE Quiz prep you will pass the SIE exam successfully. Our product is compiled by experts and approved by professionals with years of experiences. You can download and try out our latest SIE quiz torrent freely before your purchase.

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