

FINRA SIE New Dumps Sheet & Latest SIE Version



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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 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-til-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
Topic 4	<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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q280-Q285):

NEW QUESTION # 280

A registered representative constructs a portfolio of stocks that replicates the S&P 500 Index (SPX). He then regularly buys and sells SPX options to profit off changes in implied volatility. This is an example of:

- A. Index rebalancing.
- B. passive management.
- C. active management.
- D. day trading.

Answer: C

NEW QUESTION # 281

An investor owns \$10,000 par value of a municipal bond with the following rates:

- * 4.0% coupon rate
- * 5.0% current yield
- * 4.5% yield to maturity (YTM)
- * 6.5% tax-equivalent yield

What amount of interest should the investor expect to receive each year?

- A. \$500
- B. \$450
- C. \$400
- D. \$650

Answer: C

Explanation:

The annual interest on a bond is calculated based on the coupon rate and the bond's par value.

* Coupon rate = 4.0%.

* Annual interest = \$10,000 (par value) × 4.0% = \$400.

* A is correct because the coupon rate determines the annual interest.

* B, C, and D are incorrect because they reflect incorrect calculations. The current yield, YTM, and tax-equivalent yield do not affect the bond's fixed coupon payments.

Reference: SIE Study Guide, Chapter 3: Municipal Bonds

NEW QUESTION # 282

Under SEC Regulation A, which of the following market participants, if deemed to be a bad actor, will disqualify the offering from reliance on this registration exemption?

- A. Transfer agent
- B. Clearing corporation
- C. Underwriter
- D. Custodian

Answer: C

Explanation:

SEC Regulation A provides a registration exemption for smaller public offerings but includes a "bad actor" disqualification. If certain key parties, such as the issuer, underwriter, or affiliates, have been involved in securities violations, the exemption is forfeited. B is correct because underwriters are considered essential participants, and their status as bad actors disqualifies the offering. A, C, and D are incorrect because custodians, transfer agents, and clearing corporations are not included in the "bad actor" provisions of Regulation A.

Reference: SEC Regulation A, Rule 262 (Disqualification Provisions)

NEW QUESTION # 283

The SEC is investigating an individual who is potentially trading with material nonpublic information concerning their former employer. Which of the following statements describes the authority, if any, that the SEC has?

- A. The SEC has the authority to file civil charges only.
- B. The SEC has the authority to file criminal charges only.
- C. The SEC has the authority to file civil and criminal charges.
- D. The SEC does not have the authority to file charges, only to issue fines and restitution.

Answer: A

NEW QUESTION # 284

Which of the following rates is the interest rate at which banks borrow and lend to each other on an overnight basis?

- A. Prime rate
- B. LIBOR
- C. Federal funds rate
- D. Discount rate

Answer: C

Explanation:

Step by Step Explanation:

* Federal Funds Rate: The rate at which depository institutions lend reserves to each other overnight. It is set by the Federal Open Market Committee (FOMC).

* Other Rates:

* Prime Rate: Rate banks charge their most creditworthy customers.

* Discount Rate: Rate the Federal Reserve charges banks for borrowing directly from it.

* LIBOR: Interbank lending rate used internationally, now being phased out.

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Federal Reserve Explanation of Rates: Federal Funds Rate.

NEW QUESTION # 285

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