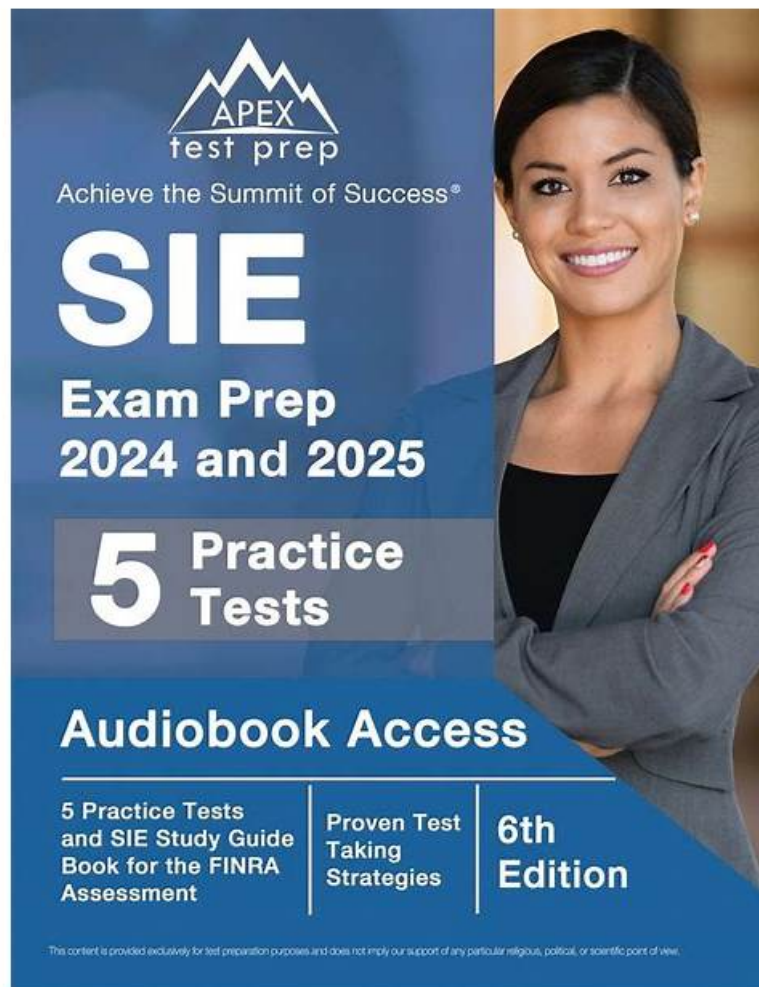


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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.

Topic 3	<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 4	<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 5	<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.

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2026 FINRA SIE: Securities Industry Essentials Exam (SIE) Latest Reliable Test Prep

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q25-Q30):

NEW QUESTION # 25

Which of the following statements is a characteristic of a government bond fund?

- **A. The value of the fund is not guaranteed by the government or any federal agency.**
- B. Dividend/interest payments will be the same each month.
- C. If interest rates fall, the net asset value (NAV) of the fund will likely drop as well.
- D. Government bond funds are diversified.

Answer: A

Explanation:

Step by Step Explanation:

* Government Bond Funds: Invest in government-backed securities, but the value of the fund itself is not guaranteed by the government, as these funds are subject to market risks.

* Incorrect Options:

* A: Diversification depends on the fund's investment strategy.

* B: Interest/dividend payments may fluctuate.

* C: If interest rates fall, NAVs typically rise, not drop.

:

SEC Guidance on Mutual Funds: SEC Government Bond Funds.

NEW QUESTION # 26

A rating agency downgrades a corporation's credit rating. Which of the following effects is this action most likely to have on the yield and price of the corporation's outstanding bonds?

- A. Yield will fall; price will fall.
- B. Yield will rise; price will rise.

- C. Yield will fall; price will rise.
- **D. Yield will rise; price will fall.**

Answer: D

Explanation:

Step by Step Explanation:

* Credit Downgrade: Increases perceived risk, causing bond prices to drop and yields to rise.

* Yield-Price Relationship: Yields move inversely to bond prices. Lower prices lead to higher yields as investors demand more return for increased risk.

:

SEC Guidance on Bond Ratings: SEC Bond Ratings.

NEW QUESTION # 27

Company XYZ is a U.S.-based provider of domestic utility services. XYZ's noncallable bonds pay a coupon rate of 5% and are currently yielding 9%. Market interest rates are currently 5.5%. An investor who purchases XYZ bonds is most exposed to which of the following risks?

- A. Political risk
- B. Prepayment risk
- **C. Credit risk**
- D. Currency risk

Answer: C

Explanation:

XYZ bonds have a yield higher than the coupon rate, indicating that their market price has decreased due to concerns about the issuer's creditworthiness.

* A is correct because the high yield suggests elevated credit risk.

* B is incorrect because domestic utility companies are unlikely to face political risk.

* C is irrelevant as the bonds are denominated in U.S. dollars.

* D is incorrect as prepayment risk is associated with callable bonds, not noncallable bonds.

Reference: SIE Study Guide, Chapter 3: Fixed Income Securities

NEW QUESTION # 28

Which of the following products is redeemable at net asset value (NAV)?

- A. Municipal bonds
- **B. Open-end mutual funds**
- C. Options contracts
- D. Corporate stock

Answer: B

Explanation:

Open-end mutual funds are redeemable securities, meaning investors can sell their shares back to the fund at the NAV.

* D is correct because mutual funds allow redemption at NAV.

* A, B, and C are not redeemable securities.

NEW QUESTION # 29

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. No later than 3 days after the securities are delivered
- **D. Before or at the same time as securities being delivered**

Answer: D

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.

$$\vdots$$

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

NEW QUESTION # 30

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