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Financial Industry Regulatory Authority  
Securities Industry Essentials (SIE) Exam

CANDIDATE INFORMATION	
Name: [REDACTED]	ID: [REDACTED]
Test Center: 9402 Remote Proctoring Center	Date: 08/03/2021

TEST RESULT	
Result:	Pass

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## 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>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.</li></ul>
Topic 3	<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 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>
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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q217-Q222):

### NEW QUESTION # 217

A registered representative (RR) owns 500 shares of a thinly traded security. A customer of the firm calls the RR to place a sell order for 10,000 shares of the same security. The RR sells his shares before entering the customer's order to sell. Which of the following activities has the RR just engaged in?

- A. Insider trading
- B. Selling away
- C. Market manipulation
- D. Front running

**Answer: D**

Explanation:

Step by Step Explanation:

\* Front Running Definition: Occurs when a broker executes a personal trade ahead of a customer's order to profit from the anticipated market movement.

\* Thinly Traded Security: Front running is particularly impactful in low-liquidity securities.

\* Other Options:

\* Selling Away: Involves unapproved securities transactions outside the employing firm.

\* Insider Trading: Involves trading on material non-public information.

\* Market Manipulation: Encompasses activities like wash trading or spoofing, not specific to this scenario.

FINRA Rule 5270 (Front Running of Block Transactions): FINRA Rule 5270.

### NEW QUESTION # 218

Assume that the economy is operating at nearly full capacity. The initial results of an oversupply of money are most likely to have the greatest impact on which of the following macroeconomic factors?

- A. Real output
- B. Velocity of money
- C. Unemployment rate
- D. Inflation rate

**Answer: D**

Explanation:

When an economy operates near full capacity, additional money in circulation leads to inflation, as demand exceeds the economy's ability to increase supply.

\* B is correct because inflation is the primary impact when supply cannot keep up with excess demand.

\* A is incorrect because output does not significantly increase when capacity is already maximized.

\* C is incorrect because velocity measures the rate at which money circulates, not the impact of oversupply.

\* D is incorrect as unemployment is already low when the economy is at full capacity.

Reference: SIE Study Guide, Chapter 2: Economic Indicators and Monetary Policy

### NEW QUESTION # 219

A bond is callable at \$1,010 and matures in 10 years at \$1,000. It has a coupon of 5.00% and is trading at \$950. What is the yield to maturity (YTM)?

- A. 4.50%

- B. 5.00%
- **C. 5.66%**
- D. 4.95%

**Answer: C**

#### NEW QUESTION # 220

Which of the following activities is a responsibility of a mutual fund transfer agent?

- A. Distributing the fund's prospectus to investors
- **B. Maintaining records of shareholder purchases and redemptions**
- C. Maintaining custody of the fund's securities
- D. Underwriting new shares of securities

**Answer: B**

Explanation:

A transfer agent is responsible for maintaining accurate records of shareholder purchases, redemptions, and account balances. They also handle the issuance and cancellation of shares and ensure shareholders receive appropriate distributions.

\* D is correct because maintaining shareholder records is a core duty of a transfer agent.

\* A is incorrect because underwriting is the responsibility of a broker-dealer.

\* B is incorrect because distributing the prospectus is handled by the fund's distributor.

\* C is incorrect because custody of securities is the role of a custodian, not the transfer agent.

Reference: SIE Study Guide, Chapter 5: Investment Companies

#### NEW QUESTION # 221

Which of the following risks are associated with Treasury securities?

- A. Prepayment risk
- B. Liquidity risk
- **C. Interest rate risk**
- D. Credit risk

**Answer: C**

Explanation:

Step by Step Explanation:

\* Interest Rate Risk: Treasury securities are sensitive to changes in interest rates. When rates rise, Treasury prices fall, exposing investors to price risk.

\* Incorrect Options:

\* Credit Risk: Virtually nonexistent for Treasuries, as they are backed by the U.S. government.

\* Liquidity Risk: Treasuries are highly liquid.

\* Prepayment Risk: Applies to mortgage-backed securities, not Treasuries.

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SEC Bond Risk Disclosures: SEC Treasury Risks.

#### NEW QUESTION # 222

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