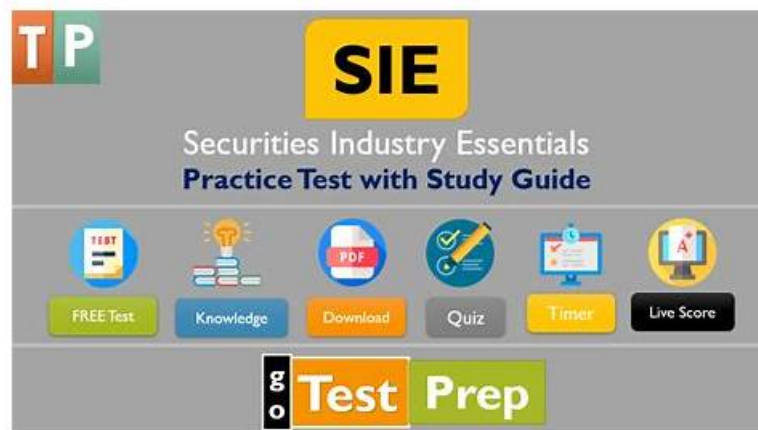


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FINRA SIE Exam Syllabus Topics:

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">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.
Topic 3	<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 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 (Q135-Q140):

NEW QUESTION # 135

A customer purchases \$3,000 of XYZ, which settles today in a margin account. The customer has no other positions or balances. According to initial margin requirements, what is the amount of the required deposit?

- A. \$3,000
- B. \$2,500
- C. \$2,000
- D. \$1,500

Answer: C

Explanation:

Under Federal Reserve Regulation T, customers must deposit at least 50% of the purchase price for margin trades. However, the minimum deposit requirement is \$2,000, regardless of the 50% rule, if the account is below this threshold.

* 50% of \$3,000 = \$1,500.

* Since \$1,500 is less than the \$2,000 minimum, the customer must deposit the full \$2,000.

* B is correct because \$2,000 is the required minimum deposit.

* A is incorrect because the \$1,500 calculation does not meet the minimum.

* C and D are incorrect because they exceed the minimum deposit requirement.

NEW QUESTION # 136

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. Custodian
- C. Clearing corporation
- D. Underwriter

Answer: D

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 # 137

An investor owns 100 shares of a company's stock and is very interested in electing a particular individual to the board of directors of the corporation. There are 20 individuals running to fill 10 board seats. If the corporation uses the cumulative voting method, what is the maximum number of votes the investor is permitted to cast for this particular director?

- A. 50 votes
- B. 100 votes
- C. 1,000 votes
- D. 2,000 votes

Answer: C

Explanation:

In cumulative voting, shareholders can allocate all their votes to a single candidate. The total number of votes is calculated by multiplying the number of shares owned by the number of seats available:

- * Total votes = 100 shares × 10 seats = 1,000 votes.
- * The investor can allocate all votes to one candidate.
- * C is correct because cumulative voting allows all votes to be concentrated.

NEW QUESTION # 138

For a customer thinking about purchasing a high-income bond mutual fund, which of the following is considered the primary risk of the underlying securities in the portfolio?

- A. Taxability risk
- **B. Credit risk**
- C. Purchasing power risk
- D. Political risk

Answer: B

Explanation:

High-income bond mutual funds typically invest in lower-rated (junk) bonds that offer higher yields. These bonds are exposed to significant credit risk, as issuers may default on their payments.

- * A is correct because credit risk is the primary concern with high-yield bonds.
- * B is incorrect as political risk is more relevant for international investments.
- * C is incorrect because taxability risk is not specific to bond mutual funds.
- * D is incorrect because purchasing power risk is more relevant for fixed-income investments during inflationary periods but is not the primary risk here.

NEW QUESTION # 139

Pursuant to FINRA rules, which of the following content is inappropriate to link to from a business-related social media site?

- A. A link to the firm's website discussing its products and services
- B. A link to information on a mutual fund that discusses previous performance over the last five years
- **C. A link to an investment's website stating the investment's performance over the next five years**
- D. A link to a company's filing on EDGAR that contains information on a press release about the company

Answer: C

Explanation:

Under FINRA Rule 2210, firms must avoid making predictions or projections of future investment performance.

- * B is correct because it involves prohibited predictive statements.
- * A, C, and D are acceptable under FINRA guidelines, as they do not involve prohibited content.

NEW QUESTION # 140

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