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## FINRA SIE Exam Syllabus Topics:

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

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q142-Q147):

### NEW QUESTION # 142

Which of the following products is the most appropriate class of investments for a customer looking for income and capital gains?

- A. Treasury Separate Trading of Registered Interest and Principal of Securities (STRIPS)
- **B. A blue-chip stock mutual fund**
- C. A growth stock
- D. A money market account

**Answer: B**

Explanation:

Step by Step Explanation:

\* Blue-Chip Stock Mutual Funds: Invest in large, established companies that typically provide stable dividend income and potential for capital appreciation.

\* Incorrect Options:

\* A: Growth stocks prioritize capital appreciation, not income.

\* B: Money market accounts focus on safety and liquidity, not capital gains.

\* D: STRIPS provide fixed income without capital gains potential.

References:

\* FINRA Investment Product Education: FINRA Investment Guidance.

### NEW QUESTION # 143

For which of the following account types will the partial ownership pass into an estate account upon the death of one of the individuals listed on the account?

- A. Joint tenants with right of survivorship (JTWROS)
- B. Trust corporation
- **C. Tenants in common**
- D. Partnership

**Answer: C**

Explanation:

In tenants in common account, each owner has a distinct percentage of ownership. Upon the death of one owner, their share does not transfer to the surviving owner(s); instead, it becomes part of the deceased's estate.

\* C is correct because ownership is divided, and the deceased's share passes to their estate.

\* A is incorrect because partnerships have different agreements governing ownership transitions.

\* B is incorrect because trust corporations are governed by trust agreements, not estate processes.

\* D is incorrect because JTWROS accounts pass ownership directly to the surviving account holder(s).

### NEW QUESTION # 144

What is the current yield of a bond trading at \$1,100 with a par value of \$1,000 and coupon of 8.00%?

- **A. 7.27%**
- B. 7.77%
- C. 8.00%
- D. 7.00%

**Answer: A**

Explanation:

The correct answer is B, 7.27%. Current yield measures the annual income (coupon interest) relative to the bond's current market price, not its par value.

Step-by-step calculation:

\* First, determine the annual interest payment (coupon):  $\text{Coupon rate} \times \text{Par value} = 8\% \times \$1,000 = \$80$  annual interest

\* Next, divide the annual interest by the current market price:  $\text{Current yield} = \text{Annual interest} / \text{Market price} = \$80 / \$1,100$

\* Perform the calculation:  $\$80 \div \$1,100 = 0.0727$ , or 7.27%

This result shows that when a bond trades at a premium (above par), its current yield is lower than the coupon rate. This is because investors are paying more than \$1,000 but still only receiving \$80 annually.

Choice A (7.00%) is incorrect because it underestimates the yield. Choice C (7.77%) is incorrect and does not match the formula.

Choice D (8.00%) represents the coupon rate, not the current yield.

Thus, the correct current yield is 7.27%, making Answer B correct.

#### NEW QUESTION # 145

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

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

**Answer: D**

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.

Reference: Investment Company Act of 1940, Section 2(a)(32)

#### NEW QUESTION # 146

Under FINRA rules, which of the following pieces of information is used in order to know a customer?

- A. Beneficiary information
- **B. Time horizon**
- C. Former custodian of account assets
- D. Educational background

**Answer: B**

Explanation:

The correct answer is A, Time horizon. Under FINRA rules, specifically the Know Your Customer (KYC) and suitability obligations, firms must gather essential information about a customer's financial situation, investment objectives, and risk tolerance. One of the most critical elements in determining suitable recommendations is the customer's time horizon, which refers to how long the customer expects to hold investments before needing the funds.

Time horizon directly affects investment strategy. For example, a customer with a long-term time horizon may be more suitable for growth-oriented or higher-risk investments such as equities, while a customer with a short-term horizon would typically require more conservative investments such as money market instruments or short-term bonds. Therefore, time horizon is a core component of building a suitable investment profile.

The other choices are not primary KYC factors. Beneficiary information is relevant for estate planning but does not determine investment suitability. Educational background may provide general insight but is not a required element for suitability analysis.

Former custodian of account assets has no relevance to assessing the customer's financial needs or investment objectives.

Thus, time horizon is a key factor used by registered representatives to ensure recommendations align with the customer's financial goals and regulatory requirements.

#### NEW QUESTION # 147

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