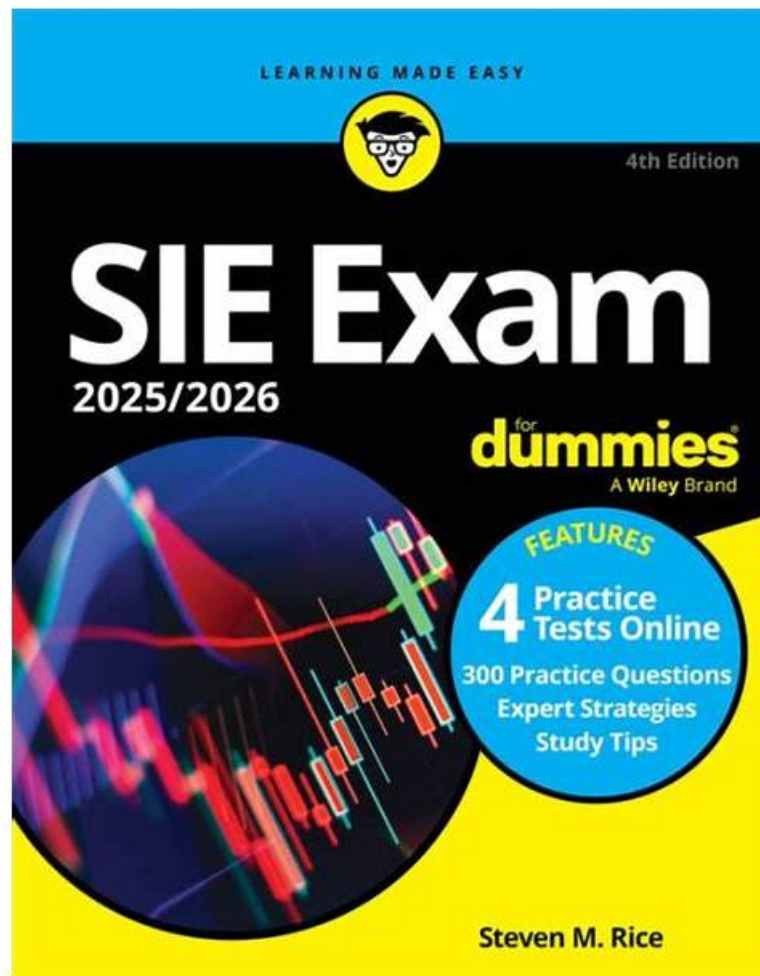


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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.

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-till-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
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Quiz 2026 FINRA SIE – Professional Exam Book

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q153-Q158):

NEW QUESTION # 153

A registered representative wants to open an account for himself at a different financial institution. Under FINRA rules, which of the following accounts requires prior written consent from his employing broker-dealer?

- A. Mutual fund accounts held directly with the fund company
- B. Variable contracts registered under the Investment Company Act
- C. A 529 savings plan account established for his grandchild
- D. An investment advisory account in which securities transactions are effected

Answer: D

Explanation:

Step by Step Explanation:

* FINRA Rule 3210: Requires registered representatives to obtain written consent from their employing broker-dealer before opening accounts at other financial institutions if securities transactions will occur.

* Incorrect Options:

* A, B, and C: These accounts are exempt because they do not involve direct securities transactions requiring monitoring.

References:

* FINRA Rule 3210 (Accounts at Other Institutions): FINRA Rule 3210.

NEW QUESTION # 154

An investor buys 100 shares of a stock at \$50.00 per share. The company declares a 10% stock dividend. What will the investor's cost basis per share be following the payment of the dividend?

- A. \$50.00
- B. \$45.00
- C. \$50.50
- D. \$45.45

Answer: D

Explanation:

A stock dividend increases the number of shares owned without affecting the total cost basis. The new cost basis per share is calculated by dividing the original total investment by the new number of shares:

* Original total investment = 100 shares × \$50.00 = \$5,000

* After a 10% stock dividend, the investor owns 110 shares.

* New cost basis = \$5,000 ÷ 110 shares = \$45.45 per share.

* B is correct because it reflects the adjusted cost basis per share.

NEW QUESTION # 155

Which of the following types of securities is an equity?

- A. Preferred stock
- B. Certificate of deposit (CD)
- C. Exchange-traded note (ETN)
- D. Commercial paper

Answer: A

Explanation:

Equity securities represent ownership in a company, and preferred stock is a type of equity security that pays dividends and has priority over common stock in liquidation.

* A is correct because preferred stock is an equity security.

* B is incorrect because commercial paper is a short-term debt security.

* C is incorrect because certificates of deposit (CDs) are fixed-income banking products.

* D is incorrect because exchange-traded notes (ETNs) are unsecured debt securities.

Reference: SIE Study Guide, Chapter 5: Corporate Securities

NEW QUESTION # 156

Which of the following statements best describes an American Depositary Receipt (ADR)?

- A. ADRs trade like U.S. issues and are quoted in U.S. dollars.
- B. ADRs represent shares of a foreign security held in foreign commercial banks.
- C. ADRs represent shares of a U.S. security held in foreign commercial banks.
- D. ADRs trade like U.S. issues and are quoted in foreign currency.

Answer: A

Explanation:

Step by Step Explanation:

* ADRs: Represent foreign securities but are issued in the U.S. and quoted in U.S. dollars, making them easier for American investors to trade.

* Incorrect Options:

* B: ADRs are quoted in U.S. dollars, not foreign currencies.

* C & D: ADRs represent foreign securities held by U.S. banks, not foreign banks.

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SEC Bulletin on ADRs: SEC ADR Overview.

NEW QUESTION # 157

A registered representative (RR) at a member firm is the subject of a statutory disqualification. Which of the following statements is true?

- A. A statutory disqualification, although reportable to CRD, does not affect employment in the securities industry.
- B. The RR is prohibited from employment by a member firm in any registered capacity but is permitted to be employed in an unregistered capacity.
- C. The RR is prohibited from soliciting business but is permitted to accept unsolicited orders.
- D. The RR is prohibited from any association or employment with a member firm unless he obtains a waiver.

Answer: D

Explanation:

A statutory disqualification occurs if an RR has been convicted of certain crimes, violated securities laws, or been barred by a regulatory authority. Under FINRA rules, the RR cannot associate with a member firm in any capacity unless they obtain a waiver from FINRA.

* B is correct because the disqualified person must obtain a waiver to continue employment.

* A and C are incorrect because the RR is not allowed to associate with the firm in any capacity without a waiver.

* D is incorrect because statutory disqualification directly affects the RR's employment status.

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