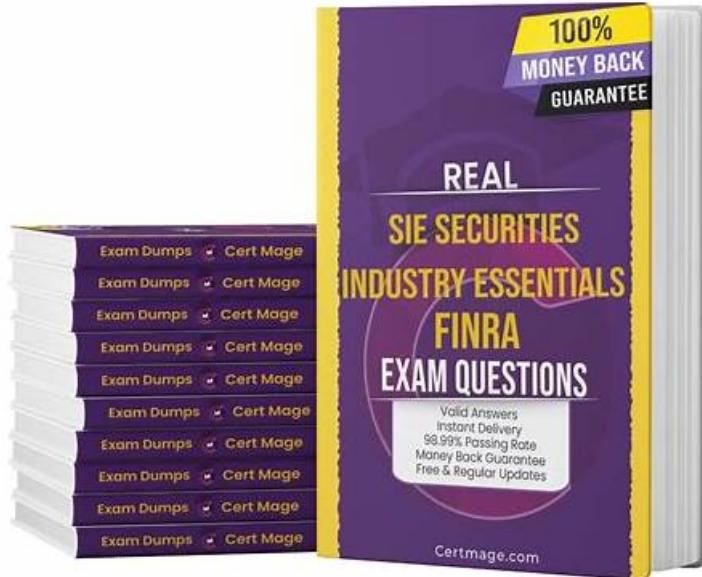


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## FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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>

Topic 3	<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>
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### **FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q211-Q216):**

#### **NEW QUESTION # 211**

A customer owns 100 shares of ABC with a current market value of \$5.00 per share. The company undergoes a 1-for-2 reverse split of the stock. Which of the following statements is true of the customer's holdings and the price of the stock?

- A. The customer will have 50 shares at \$10.00 per share.
- B. The customer will have 200 shares at \$2.50 per share.
- C. The customer will have 1,000 shares at \$0.50 per share.
- D. The customer will have 100 shares at \$5.00 per share.

#### **Answer: A**

Explanation:

Step by Step Explanation:

\* Reverse Split Calculation: A 1-for-2 reverse split reduces the number of shares by half while doubling the price per share.

\* Pre-Split Holdings: 100 shares at \$5.00 = \$500.

\* Post-Split Holdings: 50 shares at \$10.00 = \$500.

\* Incorrect Options: The total value remains unchanged; only the number of shares and price per share adjust.

References:

\* FINRA Corporate Actions Guidance: FINRA Reverse Splits.

#### **NEW QUESTION # 212**

A municipal securities dealer makes a political contribution of \$990 to a local mayoral candidate. At the end of the quarter, to whom, if anyone, must the dealer report the contribution?

- A. FINRA
- B. SEC
- C. No disclosure required as the amount is below the reporting threshold
- D. MSRB

#### **Answer: D**

Explanation:

Step by Step Explanation:

\* MSRB Rule G-37: Requires municipal securities dealers to report contributions to the MSRB, even if the amount is below the \$1,000 threshold that would trigger a two-year prohibition on municipal business.

\* Incorrect Options:

\* SEC and FINRA: Not involved in reporting political contributions for municipal securities.

References:

\* MSRB Rule G-37 (Political Contributions): MSRB Rule G-37.

**NEW QUESTION # 213**

Which of the following entities settles broker-to-broker equity, listed corporate and municipal bond, and unit investment trust (UIT) transactions in the U.S. equities markets?

- A. FINRA
- B. SEC
- C. Federal Reserve
- D. National Securities Clearing Corporation (NSCC)

**Answer: D**

Explanation:

Step by Step Explanation:

\* National Securities Clearing Corporation (NSCC): A subsidiary of the Depository Trust & Clearing Corporation (DTCC), the NSCC handles the clearance and settlement of broker-to-broker equity, corporate bond, municipal bond, and UIT transactions.

\* Incorrect Options:

\* A: The SEC oversees regulatory compliance but does not settle trades.

\* B: FINRA is a self-regulatory organization, not a clearing entity.

\* C: The Federal Reserve manages monetary policy and banking but is not involved in securities settlement.

DTCC Overview of NSCC: DTCC NSCC.

**NEW QUESTION # 214**

A grandfather establishes a Uniform Transfers to Minors Act (UTMA) custodial account for his grandson and appoints an attorney as custodian. Which of the following individuals owns the account?

- A. Attorney
- B. Grandfather
- C. Grandson
- D. Grandson's parent

**Answer: C**

Explanation:

In a UTMA account, the minor is the legal owner of the account. The custodian (in this case, the attorney) manages the account until the minor reaches the age of majority specified by state law.

\* C is correct because the grandson (the minor) is the account's legal owner.

\* A is incorrect because the attorney is the custodian, not the owner.

\* B is incorrect because the grandfather established the account but does not own it.

\* D is incorrect because the parent does not have ownership unless explicitly named as the custodian.

**NEW QUESTION # 215**

Which of the following types of securities is an equity?

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

**Answer: B**

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 # 216

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