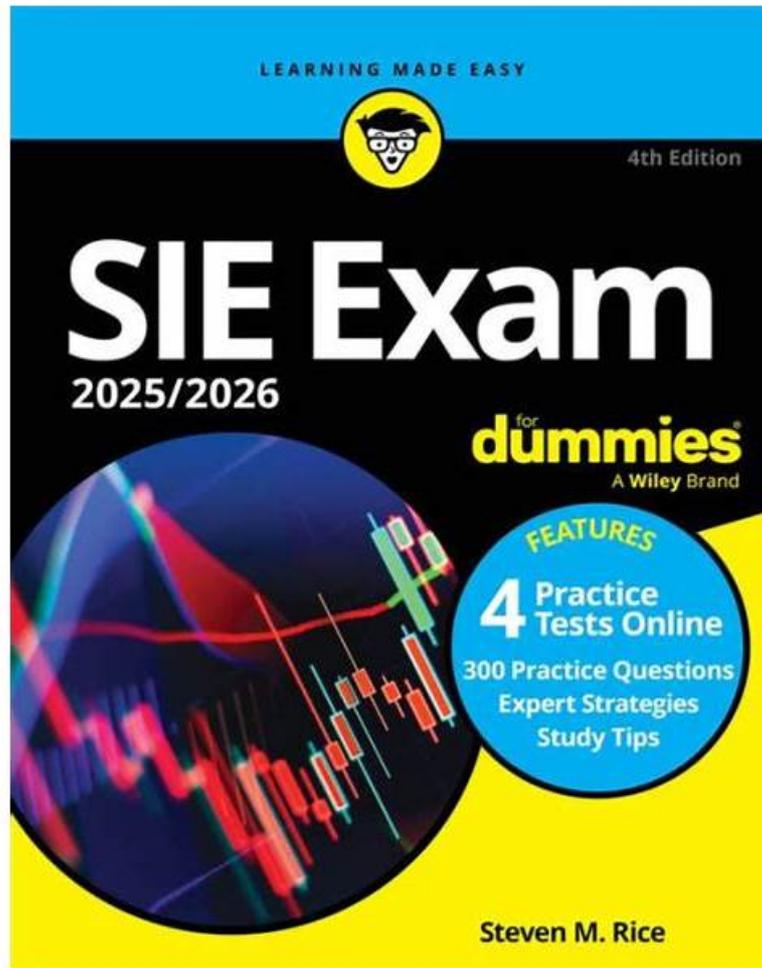


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 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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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q10-Q15):

NEW QUESTION # 10

A market maker quotes the market on an NMS equity security as 39.05 - 39.15 [5x10]. Which of the following orders is the market maker required to fill?

- A. A buy order for 1,000 shares at \$39.10
- B. A sell stop order for 500 shares at \$39.00
- **C. A buy order for 2,000 shares at \$39.15**
- D. A sell order for 300 shares at \$39.05

Answer: C

NEW QUESTION # 11

Which of the following characteristics best describes a benefit of a variable annuity subaccount?

- A. The account is managed by a third-party custodian and is, therefore, subject to lower management fees than those charged by the insurance company.
- B. The account represents the indebtedness of the insurance company that is subordinated to the claims of general creditors and, therefore, offers investors a higher rate of return.
- C. The account is held at a broker-dealer that is separate from the insurance company, thereby allowing tax-deferred investments in all types of securities products.
- **D. The account is held separately from the insurance company's general account and, therefore, is protected from the claims of general creditors of the insurance company.**

Answer: D

Explanation:

Variable annuity subaccounts are held in separate accounts, distinct from the insurance company's general account. This separation protects subaccount assets from claims by creditors in case the insurance company becomes insolvent.

- * C is correct because the separate account ensures creditor protection.
- * A is incorrect as management fees for variable annuities are often higher.
- * B is incorrect because the subaccounts are not held at broker-dealers.
- * D is incorrect as subaccounts do not represent subordinated debt.

NEW QUESTION # 12

Beta coefficient is a measure of:

- A. The volatility of the broad stock market.

- B. The liquidity of an individual stock relative to the sector average.
- C. Only the upside participation of an individual stock.
- D. The volatility of an individual stock relative to the broad stock market.

Answer: D

Explanation:

The beta coefficient measures the sensitivity of a stock's returns relative to the overall market (usually the S&P 500). A beta of

- * 1.0 indicates the stock moves in line with the market.
- * Greater than 1.0 suggests the stock is more volatile than the market.
- * Less than 1.0 suggests the stock is less volatile.
- * D is correct because beta specifically compares the volatility of a stock to the market.
- * A is incorrect as beta does not measure the market's volatility.
- * B is incorrect as beta considers both upside and downside movements.
- * C is incorrect as beta does not measure liquidity.

NEW QUESTION # 13

What is the sales load of an open-end investment company with a net asset value (NAV) of \$14.35 and a public offering price (POP) of \$15.50?

- A. 8.00%
- B. 9.25%
- C. 7.40%
- D. 8.50%

Answer: D

Explanation:

The sales load is calculated as a percentage of the POP, using the formula:

Sales load = $(\text{POP} \# \text{NAV}) \div \text{POP} \times 100$

* POP = \$15.50, NAV = \$14.35.

* Sales load = $(\$15.50 \# \$14.35) \div \$15.50 \times 100 = 8.50\%$.

* C is correct because the calculation results in an 8.50% load.

* A, B, and D are incorrect due to incorrect calculations.

Reference: SIE Study Guide, Chapter 5: Mutual Fund Pricing

NEW QUESTION # 14

An investor wants to purchase additional mutual fund shares with income distributed by the fund. Which of the following fund options permits this?

- A. Capital gains reinvestment
- B. Asset reallocation
- C. Dollar cost averaging
- D. Dividend reinvestment

Answer: D

Explanation:

Step by Step Explanation:

* Dividend Reinvestment Plans (DRIPs): These allow investors to automatically reinvest income distributed by the mutual fund to purchase additional shares.

* Dollar Cost Averaging: Refers to systematic investments over time, not directly tied to income distributions.

* Capital Gains Reinvestment: Involves reinvesting profits from the sale of fund holdings, which is distinct from dividend reinvestment.

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FINRA Mutual Fund Features: FINRA Mutual Funds.

NEW QUESTION # 15

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