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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> 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.
Topic 2	<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 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"> 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 5	<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 (Q82-Q87):

NEW QUESTION # 82

Which of the following agencies publishes the list used by broker-dealers to verify that customers are not known money launderers, terrorists or others deemed ineligible to open an account at a financial institution?

- A. The Office of Foreign Assets Control (OFAC)
- B. The FBI
- C. The IRS
- D. The SEC

Answer: A

NEW QUESTION # 83

Which of the following transactions gives a U.S. citizen the most efficient means to invest in the stock of an overseas corporation that trades only on a foreign exchange?

- A. Purchase a U.S.-based mutual fund that invests in foreign stocks
- B. Purchase an American Depositary Receipt (ADR) on a domestic exchange
- C. Purchase an option on the stock on a domestic exchange
- D. Purchase an ETF on the foreign exchange

Answer: B

Explanation:

American Depositary Receipts (ADRs) allow U.S. investors to efficiently invest in foreign corporations without the need to trade on foreign exchanges. ADRs are traded on U.S. exchanges and represent shares of foreign companies.

* D is correct because ADRs are designed for this purpose, simplifying currency exchange and reporting requirements for U.S. investors.

* A is incorrect because directly purchasing an ETF on a foreign exchange requires additional steps, such as foreign account setup.

* B is incorrect because options are derivative products, not direct investments in the stock.

* C is less efficient because mutual funds may not provide direct exposure to the specific corporation.

Reference: SIE Study Guide, Chapter 7: ADRs

NEW QUESTION # 84

Which of the following responses best characterizes a money market mutual fund?

- A. Its price is fixed at \$1 per share.
- **B. Its underlying investments are short term.**
- C. Its yield always exceeds a savings account rate.
- D. It pays a fixed rate of return.

Answer: B

Explanation:

Money market mutual funds invest in highly liquid, short-term debt instruments, such as Treasury bills, commercial paper, and certificates of deposit. While the funds aim to maintain a stable \$1 NAV, this is not guaranteed.

* C is correct because the fund's investments are short term.

* A is incorrect because the rate of return is not fixed; it varies with market interest rates.

* B is incorrect because while the fund tries to maintain a \$1 NAV, it is not guaranteed.

* D is incorrect because yields do not always exceed those of savings accounts.

Reference: SIE Study Guide, Chapter 5: Money Market Funds

NEW QUESTION # 85

For up to how many business days is a firm initially permitted to place a temporary hold on disbursements for a specified adult account in which the firm reasonably believes financial exploitation has occurred?

- **A. 10 business days**
- B. 5 business days
- C. 15 business days
- D. 3 business days

Answer: A

Explanation:

Step by Step Explanation:

* Temporary Hold Period: Under FINRA Rule 2165, a firm can initially place a hold on disbursements for up to 10 business days if financial exploitation is suspected.

* Additional Holds: The period may be extended by an additional 10 business days if warranted and allowed by state law.

* Incorrect Options:

* A & B: These are shorter than the permissible period.

* D: The initial hold period is capped at 10 business days.

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FINRA Rule 2165 (Financial Exploitation of Specified Adults): FINRA Rule 2165.

NEW QUESTION # 86

Assume that the economy is operating at nearly full capacity. The initial results of an oversupply of money are most likely to have the greatest impact on which of the following macroeconomic factors?

- A. Unemployment rate
- **B. Inflation rate**
- C. Real output
- D. Velocity of money

Answer: B

Explanation:

When an economy operates near full capacity, additional money in circulation leads to inflation, as demand exceeds the economy's ability to increase supply.

* B is correct because inflation is the primary impact when supply cannot keep up with excess demand.

* A is incorrect because output does not significantly increase when capacity is already maximized.

* C is incorrect because velocity measures the rate at which money circulates, not the impact of oversupply.

* D is incorrect as unemployment is already low when the economy is at full capacity.

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