

# Exam SIE Introduction | SIE Useful Dumps



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## FINRA SIE Exam Syllabus Topics:

| Topic   | Details   |
|---------|---|
| Topic 1 | <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 2 | <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 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>          |

>> Exam SIE Introduction <<

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with less answers and questions, thus the learning is easy and efficient.

## **FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q187-Q192):**

### **NEW QUESTION # 187**

Which of the following statements is true regarding the SEC's characterization of a registration statement that has just been made effective?

- A. The SEC has determined that no material information has been omitted.
- B. The SEC has approved the security being offered for sale.
- **C. The SEC has not passed judgment on the merits of the security being offered for sale.**
- D. The SEC has found the information presented to be true and accurate.

**Answer: C**

Explanation:

Step by Step Explanation:

\* SEC Registration Statements: The SEC reviews registration statements for completeness and compliance but does not judge the merits, approve, or endorse the securities being offered.

\* Other Options:

\* A, B, and C: Misrepresent the SEC's role in the registration process.

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SEC Bulletin on Registration Statements: SEC Registration Process.

### **NEW QUESTION # 188**

A confirmation indicates a 100-share purchase of Company ABC at \$11. According to SEC rules, which of the following information is required to be stated on the confirmation?

- A. That the firm did not act as a market maker in the security
- B. The firm's cost basis in the security
- C. The firm's inventory level at the time of trade execution
- **D. The capacity in which the firm acted when executing the trade**

**Answer: D**

Explanation:

Step by Step Explanation:

\* SEC Rule 10b-10: Requires trade confirmations to disclose the capacity in which the firm acted (e.g., as agent or principal) and details like trade price, quantity, and commissions.

\* Incorrect Options:

\* A: Cost basis is not disclosed on trade confirmations.

\* B: Inventory levels are not part of the required disclosures.

\* C: Market maker status is not explicitly required in the confirmation.

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SEC Rule 10b-10 (Confirmation Requirements): SEC Rule 10b-10.

### **NEW QUESTION # 189**

Which of the following rates is the interest rate at which banks borrow and lend to each other on an overnight basis?

- **A. Federal funds rate**
- B. LIBOR
- C. Discount rate
- D. Prime rate

**Answer: A**

Explanation:

Step by Step Explanation:

- \* Federal Funds Rate: The rate at which depository institutions lend reserves to each other overnight. It is set by the Federal Open Market Committee (FOMC).
  - \* Other Rates:
  - \* Prime Rate: Rate banks charge their most creditworthy customers.
  - \* Discount Rate: Rate the Federal Reserve charges banks for borrowing directly from it.
  - \* LIBOR: Interbank lending rate used internationally, now being phased out.
- Federal Reserve Explanation of Rates: Federal Funds Rate.

#### NEW QUESTION # 190

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

**Answer: C**

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 # 191

SEC Regulation S-P (Consumer Privacy) requires certain information to be included in privacy notices delivered to customers of broker-dealers (BDs). Which of the following information is required to be included in the privacy notice?

- A. The website and telephone number of SIPC
- B. The website and telephone number of the Consumer Financial Protection Bureau (CFPB)
- C. The BD's policies and practices for protecting the customer's nonpublic personal information
- D. The name and telephone number of the BD's chief compliance officer

**Answer: C**

Explanation:

Regulation S-P mandates that broker-dealers disclose how they collect, protect, and share customers' nonpublic personal information. The privacy notice must include:

- \* The categories of information collected.
- \* The firm's policies for safeguarding data.
- \* Opt-out rights for sharing information with unaffiliated third parties.
- \* D is correct because privacy notices must describe policies for protecting customer information.
- \* A, B, and C are incorrect because they do not relate to the required elements of Regulation S-P privacy notices.

#### NEW QUESTION # 192

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