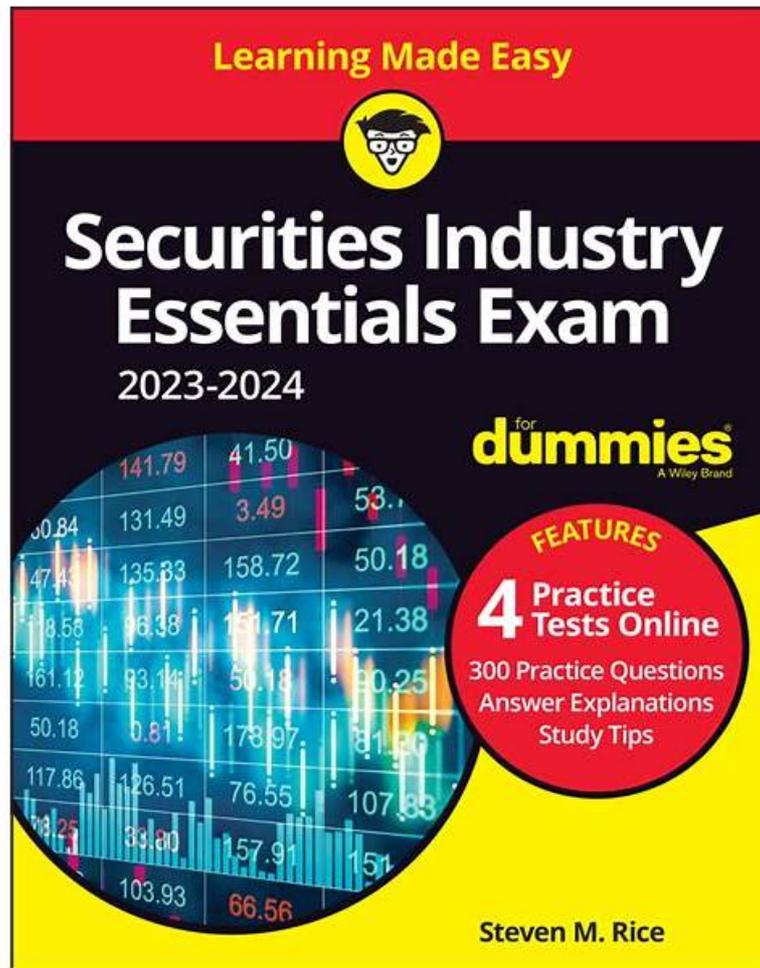


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Topic	Details
Topic 1	<ul style="list-style-type: none"> Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including 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"> 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 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 4	<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 5	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q77-Q82):

NEW QUESTION # 77

Offering 403(b) tax-sheltered annuity accounts to which of the following groups is permissible?

- A. Employees of a nonprofit hospital
- B. Volunteer workers
- C. Small business owners
- D. Active duty military personnel

Answer: A

Explanation:

Step by Step Explanation:

* 403(b) Accounts: These tax-advantaged retirement plans are specifically for employees of public schools, tax-exempt organizations, and certain other nonprofit employers, such as hospitals.

* Incorrect Options:

* Volunteer Workers: Ineligible unless they are also employees.

* Small Business Owners and Military Personnel: These groups typically qualify for other retirement plans, not 403(b).

References:

* IRS Publication 571 (403(b) Plans); IRS 403(b) Guidance.

NEW QUESTION # 78

An investor wants to purchase mutual fund shares, but she is concerned about the tax efficiency of the fund.

Which of the following disclosures required under industry regulations will help the investor make an informed decision?

- A. The commissions that the fund pays on each transaction
- **B. The fund's turnover ratio**
- C. Sales charges and breakpoint discount opportunities
- D. Projections of future dividend and capital gains distributions

Answer: B

Explanation:

Step by Step Explanation:

* Turnover Ratio: Indicates how frequently the fund manager buys and sells securities. A high turnover ratio may result in higher capital gains distributions, impacting tax efficiency.

* Incorrect Options:

* B: Sales charges affect cost but not tax efficiency.

* C: Commission details are unrelated to the fund's tax efficiency.

* D: Projections of distributions are speculative and not disclosed under regulations.

:

SEC Mutual Fund Guide: SEC Mutual Funds.

NEW QUESTION # 79

A customer holds 1,000 shares of Company XYZ and wants to sell covered calls against this position. What is the maximum number of contracts that the customer could sell and still remain covered?

- A. 5 contracts
- B. 1,000 contracts
- C. 100 contracts
- **D. 10 contracts**

Answer: D

Explanation:

Each option contract represents 100 shares. A covered call involves selling a call option while holding an equivalent number of shares to deliver if the option is exercised.

* The customer owns 1,000 shares.

* Since 1 contract = 100 shares, the maximum number of contracts the customer can sell is: 1,000 shares

÷ 100 shares/contract = 10 contracts.

* B is correct because selling 10 contracts corresponds to 1,000 shares, fully covering the position.

Reference: SIE Study Guide, Chapter 8: Options Strategies

NEW QUESTION # 80

A customer buys 100 ABC at \$50 and at the same time sells an ABC April 50 call at \$8. At expiration, ABC must be at what market price for the customer to break even?

- A. \$58
- **B. \$42**
- C. \$44
- D. \$50

Answer: B

Explanation:

Step by Step Explanation:

- * Breakeven Calculation: For covered call writing, breakeven is the stock purchase price minus the premium received.
 - * Purchase Price = \$50
 - * Premium Received = \$8
 - * Breakeven = \$50 - \$8 = \$42.
 - * Other Options:
 - * B, C, and D: Incorrect because they do not reflect the proper calculation of stock price minus the premium
- References:
- * Options Clearing Corporation (OCC) Education: OCC Options Guidance.

NEW QUESTION # 81

Which of the following strategies is an investor most likely to employ using options contracts?

- A. Selling call options to set a definitive ceiling for potential losses
- B. Buying call options when the market shows downward momentum
- C. Buying put options when the market shows upward momentum
- D. Buying put options to set a definitive floor for potential losses

Answer: D

Explanation:

Buying a put option gives the investor the right to sell a stock at a specific strike price, effectively setting a floor for potential losses if the stock price declines. This is a common risk-management strategy.

- * A is correct because buying puts limits downside risk while retaining the potential for upside gains.
- * B is incorrect as buying puts is a bearish strategy, not one used during upward momentum.
- * C is incorrect because selling call options does not hedge losses; it is a speculative or income-generating strategy.
- * D is incorrect because buying calls is a bullish strategy, used during upward momentum, not downward.

Reference: SIE Study Guide, Chapter 8: Options Strategies

NEW QUESTION # 82

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