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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 3	<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 4	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q116-Q121):

NEW QUESTION # 116

An investor holds 1,000 shares of a stock with a total cost basis of \$5,000 in his account when a 1-for-5 reverse stock split is announced. What will be the investor's total cost basis after the payable date of the reverse split?

- A. \$5,000
- B. \$2,500
- C. \$1,000
- D. \$25,000

Answer: A

Explanation:

Step by Step Explanation:

* Cost Basis in Reverse Split: The total cost basis remains unchanged in a reverse stock split. Only the number of shares and price per share adjust.

* Pre-Split: 1,000 shares at \$5 each = \$5,000.

* Post-Split: 200 shares at \$25 each = \$5,000.

* Incorrect Options:

* A, B, and D: Do not reflect the unchanged total cost basis.

:

IRS Guidance on Stock Splits: IRS Stock Split Info.

NEW QUESTION # 117

Which of the following is a reportable obligation with respect to an individual's Form U4?

- A. A change of residential address
- B. A change of business telephone number
- C. A speeding ticket
- D. A gambling-related misdemeanor charge

Answer: D

Explanation:

Step by Step Explanation:

* Form U4 Reporting Requirements: Registered persons must disclose criminal charges (excluding minor traffic violations) and material changes such as residential address changes. Gambling-related misdemeanors are considered reportable.

* Incorrect Options:

* Speeding Ticket: Typically not reportable unless it involves a felony.

* Business Telephone Number: Not material for Form U4.

References:

* FINRA Form U4 Instructions: FINRA Form U4.

NEW QUESTION # 118

The prohibited practice of excessively trading in a discretionary account in order to generate commissions is known as:

- A. kiting
- B. freeriding
- C. **churning**
- D. front running

Answer: C

Explanation:

Churning is the prohibited practice of excessive trading in a customer's account-often a discretionary account-primarily to generate commissions or other compensation for the broker rather than to meet the customer's investment objectives. That makes B correct. The core elements regulators look for are: control over the account (discretion or de facto control), excessive frequency/volume relative to the customer's profile, and an intent or effect of generating commissions at the customer's expense. Churning violates ethical standards and anti-fraud principles because it places the broker's interest ahead of the customer's.

Choice A, kiting, typically refers to exploiting the time it takes for checks to clear by writing checks against insufficient funds-this is a banking/payment fraud concept, not excessive trading. Choice C, freeriding, refers to buying securities in a cash account and then selling them before paying for them, using sale proceeds to cover the purchase-this is linked to cash account payment violations and Regulation T concepts, not overtrading. Choice D, front running, involves trading ahead of a customer order or block trade (or ahead of research) to profit from an expected price move-again, not the same as excessive trading to generate commissions.

The SIE emphasizes prohibited practices in customer accounts, including excessive trading, conflicts of interest, and supervisory obligations. Recognizing churning is essential because it is a classic example of misconduct where the customer's best interest is subordinated to compensation incentives.

NEW QUESTION # 119

Which of the following statements concerning nonqualified deferred compensation plans is true?

- A. The deferred compensation must be held in escrow at a bank.
- B. They are governed by ERISA rules.
- C. Such plans must be reviewed with the IRS.
- D. **A failure of the business could lead to nonpayment of the deferred compensation.**

Answer: D

Explanation:

Nonqualified deferred compensation (NQDC) plans allow employees to defer income until a future date.

* D is correct because NQDC funds remain part of the company's general assets, which creditors may claim if the company goes bankrupt.

* A is incorrect as NQDC plans are not subject to ERISA rules.

* B is incorrect because these plans do not require IRS review.

* C is incorrect as NQDC assets are not required to be held in escrow.

Reference: IRS Code Section 409A

NEW QUESTION # 120

When is it permissible to exercise European-style options contracts?

- A. **Only on the day of expiration**
- B. Only on the third Friday of every month
- C. Only on the day after expiration
- D. Only on the last business day before expiration

Answer: A

Explanation:

Step by Step Explanation:

* European-Style Options: Can only be exercised on their expiration date, unlike American-style options, which can be exercised any time before expiration.

* Incorrect Options:

- * A: Not accurate; the exercise must occur specifically on the expiration date.
- * C: Options cannot be exercised after expiration.
- * D: The expiration date depends on the option contract, not a specific weekday.

References:

* Options Clearing Corporation (OCC) Guidelines: OCC European Options.

NEW QUESTION # 121

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