

New Reliable SIE Exam Question | Latest FINRA SIE: Securities Industry Essentials Exam (SIE) 100% Pass



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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">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-til-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 (Q189-Q194):

NEW QUESTION # 189

Under SEC Regulation A, which of the following market participants, if deemed to be a bad actor, will disqualify the offering from reliance on this registration exemption?

- A. Custodian
- **B. Underwriter**
- C. Transfer agent
- D. Clearing corporation

Answer: B

Explanation:

SEC Regulation A provides a registration exemption for smaller public offerings but includes a "bad actor" disqualification. If certain key parties, such as the issuer, underwriter, or affiliates, have been involved in securities violations, the exemption is forfeited.

* B is correct because underwriters are considered essential participants, and their status as bad actors disqualifies the offering.

* A, C, and D are incorrect because custodians, transfer agents, and clearing corporations are not included in the "bad actor" provisions of Regulation A.

NEW QUESTION # 190

When is a newly registered person subject to the Continuing Education Regulatory Element requirement?

- A. Every three years after the date of registration
- B. Every five years
- **C. On the anniversary date of initial registration**
- D. The calendar year following initial registration

Answer: C

Explanation:

Step by Step Explanation:

* Regulatory Element Requirement: Newly registered persons must complete the Continuing Education (CE) Regulatory Element on the second anniversary of their initial registration and every three years thereafter.

* Incorrect Options:

* A: The requirement begins on the second anniversary, not the following calendar year.

* D: The cycle is every three years, not five.

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FINRA Rule 1240 (Continuing Education): FINRA Rule 1240.

NEW QUESTION # 191

Which of the following products is redeemable at net asset value (NAV)?

- A. Corporate stock
- B. Options contracts

- C. Open-end mutual funds
- D. Municipal bonds

Answer: C

Explanation:

Open-end mutual funds are redeemable securities, meaning investors can sell their shares back to the fund at the NAV.

* D is correct because mutual funds allow redemption at NAV.

* A, B, and C are not redeemable securities.

Reference: Investment Company Act of 1940, Section 2(a)(32)

NEW QUESTION # 192

Under FINRA rules, which of the following activities is not considered an outside business activity (OBA)?

- A. Selling health insurance
- B. Selling real estate
- C. Professionally refereeing athletic events
- D. Passively investing in a multifamily house for rental purposes

Answer: D

Explanation:

Step by Step Explanation:

* Outside Business Activity Definition: Per FINRA Rule 3270, an OBA involves compensated business activities outside the scope of the RR's role at their firm. Passive investments are excluded because they do not require active involvement.

* Incorrect Options:

* A, B, and C: Selling real estate, selling insurance, and refereeing are considered OBAs as they involve active participation and compensation.

References:

* FINRA Rule 3270 (Outside Business Activities): FINRA Rule 3270.

NEW QUESTION # 193

In a rising interest rate environment, which of the following statements is true regarding the price of fixed-rate corporate bonds?

- A. Their price will remain constant.
- B. Their price will revert to par value.
- C. Their price will appreciate in value.
- D. Their price will depreciate in value.

Answer: D

Explanation:

When interest rates rise, the price of fixed-rate corporate bonds falls because the bond's coupon payments become less attractive compared to new bonds issued at higher rates.

* D is correct as bond prices move inversely to interest rates.

* A is incorrect because bond prices fluctuate with interest rate changes.

* B is incorrect because bond prices revert to par only at maturity.

* C is incorrect because prices do not appreciate when rates rise.

Reference: SIE Study Guide, Chapter 3: Interest Rates and Bond Prices

NEW QUESTION # 194

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