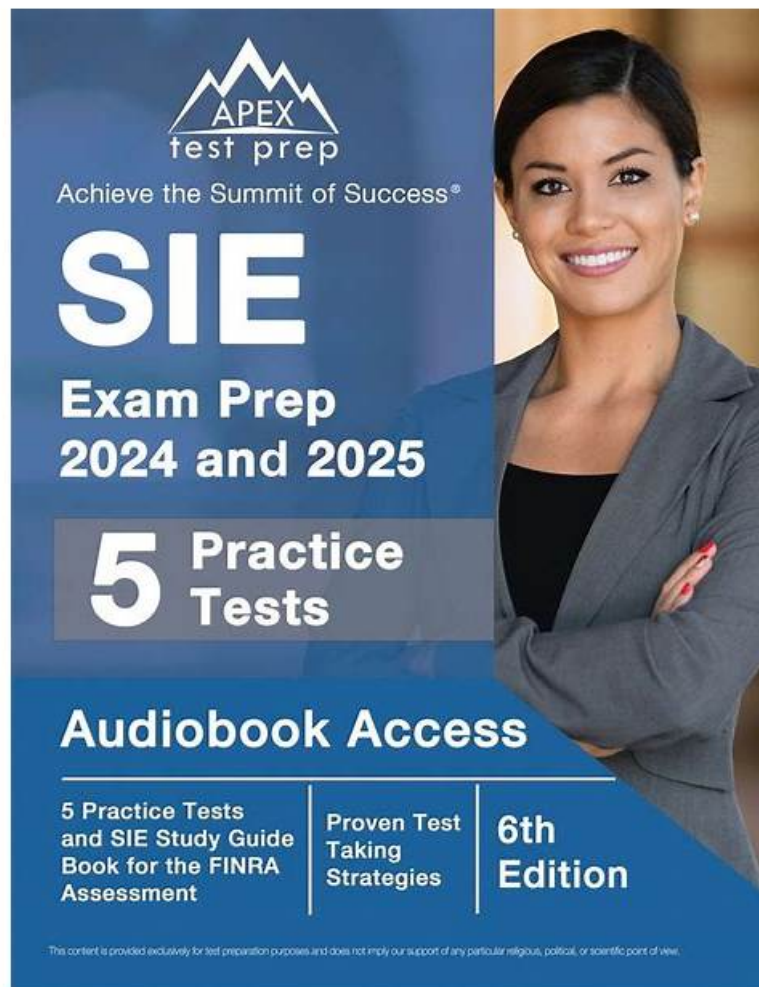


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 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"> • 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 (Q190-Q195):

NEW QUESTION # 190

Which of the following statements is a characteristic of a government bond fund?

- A. If interest rates fall, the net asset value (NAV) of the fund will likely drop as well.
- B. Government bond funds are diversified.
- C. The value of the fund is not guaranteed by the government or any federal agency.
- D. Dividend/interest payments will be the same each month.

Answer: C

Explanation:

Step by Step Explanation:

* Government Bond Funds: Invest in government-backed securities, but the value of the fund itself is not guaranteed by the government, as these funds are subject to market risks.

* Incorrect Options:

* A: Diversification depends on the fund's investment strategy.

* B: Interest/dividend payments may fluctuate.

* C: If interest rates fall, NAVs typically rise, not drop.

:

SEC Guidance on Mutual Funds: SEC Government Bond Funds.

NEW QUESTION # 191

How does an individual acquire restricted stock?

- A. By participating in an initial public offering (IPO)
- B. By exercising publicly traded warrants
- **C. By participating in an SEC Regulation D offering**
- D. By exercising an option for exchange-traded calls

Answer: C

Explanation:

Restricted stock refers to securities acquired through private placements, such as those offered under Regulation D. These securities are not registered with the SEC and are subject to holding period restrictions before resale.

* A is correct because Regulation D offerings involve private placements, resulting in restricted stock.

* B is incorrect because IPOs involve publicly traded shares, not restricted stock.

* C and D are incorrect because restricted stock is not obtained through warrants or exchange-traded options.

NEW QUESTION # 192

Which of the following responses best describes how member firms are required to retain electronic correspondence and internal communications of associated persons?

- A. In the firm's cloud storage
- B. On the firm's server
- **C. In a non-rewriteable format**
- D. In hard copy

Answer: C

Explanation:

FINRA Rule 4511 requires member firms to retain records, including electronic communications, in a non-rewriteable, non-erasable format (often referred to as WORM: Write Once, Read Many). This ensures that records cannot be altered or deleted once stored.

* D is correct because firms must store records in a tamper-proof format.

* A, B, and C are incorrect because these formats do not guarantee compliance with the tamper-proof requirements set forth by FINRA and the SEC.

Reference: FINRA Rule 4511 (General Requirements for Books and Records)

NEW QUESTION # 193

Rising economic activity is most likely to increase revenues of which of the following sectors?

- A. Consumer staples
- B. Healthcare
- **C. Consumer discretionary**
- D. Utilities

Answer: C

Explanation:

Step by Step Explanation:

* Consumer Discretionary Sector: Includes products and services that are not essential, such as luxury items, travel, and entertainment. Revenues increase as disposable income rises during economic expansion.

* Consumer Staples and Utilities: These sectors are defensive and less impacted by economic cycles.

* Healthcare: Also less correlated with economic cycles due to its essential nature.

References:

* SEC and FINRA Guidance on Sectors: Investopedia Sector Overview.

NEW QUESTION # 194

Which of the following statements is true regarding 529 savings plans?

- A. The account beneficiary has control over the assets in a 529 savings plan.
- B. 529 contributions are tax deductible in all states.
- **C. Assets are transferable to another 529 savings plan tax-free if the new beneficiary is a family member of the current**

beneficiary.

- D. There are income limitations for contributing to a 529 savings plan.

Answer: C

Explanation:

529 savings plans are state-sponsored education savings accounts that offer tax-advantaged growth. Key features include:

- * Contributions are not federally tax deductible (some states offer state-level deductions).
- * No income limitations for contributions.
- * The account owner, not the beneficiary, controls the plan.
- * Assets can be transferred tax-free to another family member's 529 plan.
- * D is correct because tax-free rollovers are allowed for family members of the current beneficiary.
- * A is incorrect as contributions are not universally tax deductible.
- * B is incorrect as there are no income limitations for contributing.
- * C is incorrect because the account owner, not the beneficiary, controls the assets.

NEW QUESTION # 195

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