

# SIE Pdf Exam Dump - Hot SIE Exam Quiz and Effective Valid Securities Industry Essentials Exam (SIE) Test Review

## SIE Exam Structure

Sections	Percentage of Exam Questions	Number of Exam Questions
(01) Knowledge of Capital Markets	16%	12
(02) Understanding Products and Their Risks	44%	33
(03) Understanding Trading Customer Accounts and Prohibited Activities	31%	23
(04) Overview of Regulatory Framework	9%	7
<b>TOTAL</b>	<b>100%</b>	<b>75</b>



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## FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"><li>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.</li></ul>
Topic 2	<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>
Topic 3	<ul style="list-style-type: none"><li>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.</li></ul>

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## (SIE)

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q103-Q108):

### NEW QUESTION # 103

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

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

**Answer: C**

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 # 104

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 name and telephone number of the BD's chief compliance officer
- D. The BD's policies and practices for protecting the customer's nonpublic personal information

**Answer: D**

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.

Reference: SEC Regulation S-P (Privacy of Consumer Financial Information)

### NEW QUESTION # 105

Which of the following is considered nonpublic information?

- A. Customer's address
- B. Customer's name
- C. Customer's telephone number
- D. Customer's net worth

**Answer: D**

Explanation:

Step by Step Explanation:

\* Nonpublic Information: A customer's net worth is nonpublic personal information that requires confidentiality under Regulation S-P.

\* Incorrect Options:

\* A, B, and D: Names, addresses, and phone numbers may be public unless linked to specific financial or personal details.

References:

\* SEC Regulation S-P (Privacy of Consumer Financial Information): SEC Regulation S-P.

### NEW QUESTION # 106

Which of the following functions is a responsibility of the IRS?

- A. Pass tax laws
- B. Regulate brokerage accounts
- C. Administer tax laws
- D. Approve securities regulations

**Answer: C**

### NEW QUESTION # 107

An investor owns \$10,000 par value of a municipal bond with the following rates:

\* 4.0% coupon rate

\* 5.0% current yield

\* 4.5% yield to maturity (YTM)

\* 6.5% tax-equivalent yield

What amount of interest should the investor expect to receive each year?

- A. \$450
- B. \$500
- C. \$400
- D. \$650

**Answer: C**

Explanation:

The annual interest on a bond is calculated based on the coupon rate and the bond's par value.

\* Coupon rate = 4.0%.

\* Annual interest = \$10,000 (par value)  $\times$  4.0% = \$400.

\* A is correct because the coupon rate determines the annual interest.



\* B, C, and D are incorrect because they reflect incorrect calculations. The current yield, YTM, and tax-equivalent yield do not affect the bond's fixed coupon payments.

### NEW QUESTION # 108

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