

# SIE시험유효덤프, SIE최신시험기출문제모음

## 기능평가 II (150점)

3. 다음 (1), (2)의 수식을 수식 편집기로 각각 입력하시오. (40점)

<출력형태>

$$(1) A^2 + \sqrt{\frac{pL}{2x}} = \frac{yT}{2x}$$

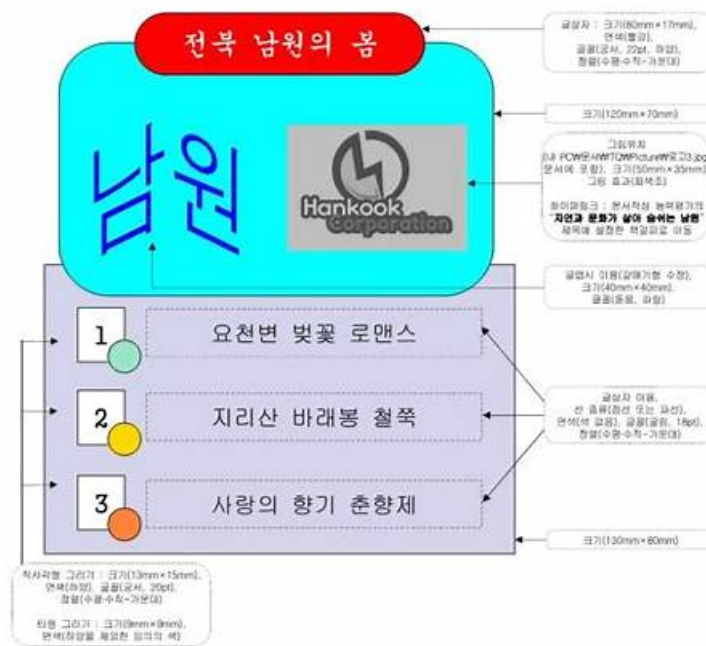
$$(2) \frac{A}{B} \div \frac{C}{D} = \frac{A}{B} \times \frac{D}{C} = \frac{E^2}{F^2}$$

4. 다음의 <조건>에 따라 <출력형태>와 같이 문서를 작성하시오. (110점)

<조건>

- (1) 그리기 도구를 이용하여 작성하고, 모든 도형(글박스, 지정된 그림 포함)을 <출력형태>와 같이 작성하시오.
- (2) 도형의 면적은 지시사항이 없으면 색 없음을 제외하고 서로 다르게 임의로 지정하시오.

<출력형태>



참고: Itexamdump에서 Google Drive로 공유하는 무료, 최신 SIE 시험 문제집이 있습니다: <https://drive.google.com/open?id=1zbbMVXDQxp4hsX3R8NIe6LpT0-ACcqtB>

Itexamdump에서 출시한 FINRA인증SIE 덤프는 시험문제점유율이 가장 높은 시험대비자료입니다. 실제FINRA인증 SIE시험문제유형과 같은 형식으로 제작된FINRA인증SIE 시험공부자료로서Itexamdump덤프의 실용가치를 자랑하고 있습니다.덤프를 공부하여 시험불합격하시면 덤프비용은 환불처리해드립니다.

Itexamdump는 Itexamdump의FINRA인증 SIE덤프자료를 공부하면 한방에 시험패스하는것을 굳게 약속드립니다. Itexamdump의FINRA인증 SIE덤프로 공부하여 시험불합격받으면 바로 덤프비용전액 환불처리해드리는 서비스를 제공해드리기에 아무런 무답없는 시험준비공부를 할 수 있습니다.

>> SIE시험유효덤프 <<

## 시험대비 SIE시험유효덤프 인증공부자료

만약Itexamdump를 선택하였다면 여러분은 받은 성공한 것입니다. 여러분은 아주 빠르게 안전하게 또 쉽게FINRA SIE인증시험 자격증을 취득하실 수 있습니다. 우리Itexamdump에서 제공되는 모든 덤프들은 모두 100%보장 도를 자랑하며 그리고 우리는 일년무료 업데이트를 제공합니다.

## FINRA SIE 시험요강:

주제	소개
주제 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>
주제 2	<ul style="list-style-type: none"> <li>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.</li> </ul>
주제 3	<ul style="list-style-type: none"> <li>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.</li> </ul>

## 최신 General Securities Representative SIE 무료샘플문제 (Q145-Q150):

### 질문 # 145

A confirmation indicates a 100-share purchase of Company ABC at \$11. According to SEC rules, which of the following information is required to be stated on the confirmation?

- A. The capacity in which the firm acted when executing the trade
- B. The firm's cost basis in the security
- C. That the firm did not act as a market maker in the security
- D. The firm's inventory level at the time of trade execution

정답: A

설명:

Step by Step Explanation:

\* SEC Rule 10b-10: Requires trade confirmations to disclose the capacity in which the firm acted (e.g., as agent or principal) and details like trade price, quantity, and commissions.

\* Incorrect Options:

\* A: Cost basis is not disclosed on trade confirmations.

\* B: Inventory levels are not part of the required disclosures.

\* C: Market maker status is not explicitly required in the confirmation.

References:

\* SEC Rule 10b-10 (Confirmation Requirements): SEC Rule 10b-10.

### 질문 # 146

A currency devaluation impacts a country's economic activity in which of the following ways?

- A. Decreases gross domestic product (GDP)
- B. Decreases inflation
- C. Makes exports cost less in merchandise trade countries
- D. Increases imports from merchandise trade countries

정답: C

설명:

Currency devaluation reduces the value of a country's currency relative to others, making its exports cheaper and more competitive internationally. This stimulates demand for the country's goods and services.

\* D is correct because devaluation reduces export costs, encouraging foreign buyers.

\* A is incorrect because devaluation can increase inflation by raising the cost of imported goods.

\* B is incorrect because GDP often rises due to increased export demand.

\* C is incorrect because imports become more expensive after devaluation, reducing demand.

**질문 # 147**

Company XYZ is a U.S.-based provider of domestic utility services. XYZ's noncallable bonds pay a coupon rate of 5% and are currently yielding 9%. Market interest rates are currently 5.5%. An investor who purchases XYZ bonds is most exposed to which of the following risks?

- A. Political risk
- **B. Credit risk**
- C. Currency risk
- D. Prepayment risk

**정답: B**

**설명:**

XYZ bonds have a yield higher than the coupon rate, indicating that their market price has decreased due to concerns about the issuer's creditworthiness.

- \* A is correct because the high yield suggests elevated credit risk.
- \* B is incorrect because domestic utility companies are unlikely to face political risk.
- \* C is irrelevant as the bonds are denominated in U.S. dollars.
- \* D is incorrect as prepayment risk is associated with callable bonds, not noncallable bonds.

**질문 # 148**

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. Transfer agent
- C. Clearing corporation
- **D. Underwriter**

**정답: D**

**설명:**

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.

Reference: SEC Regulation A, Rule 262 (Disqualification Provisions)

**질문 # 149**

How long are unused funds permitted to remain in a Coverdell education savings account?

- **A. All funds must be distributed when the beneficiary's age reaches 30 years old.**
- B. All funds must be distributed when the beneficiary's age reaches 21 years old.
- C. All funds must be distributed when the beneficiary's age reaches 59 ½ years old.
- D. There is no age limit preventing funds from remaining in a beneficiary's account.

**정답: A**

**설명:**

Coverdell Education Savings Accounts (ESAs) require that all funds be distributed by the time the beneficiary reaches 30 years old. If the funds are not used for qualified educational expenses, they may be subject to taxes and penalties.

- \* B is correct because funds must be distributed by age 30 unless transferred to another eligible family member.
- \* A is incorrect as age 21 is not relevant for Coverdell ESAs.
- \* C is incorrect because age 59 ½ applies to retirement accounts like IRAs.
- \* D is incorrect because there is a distribution deadline for Coverdell accounts.

