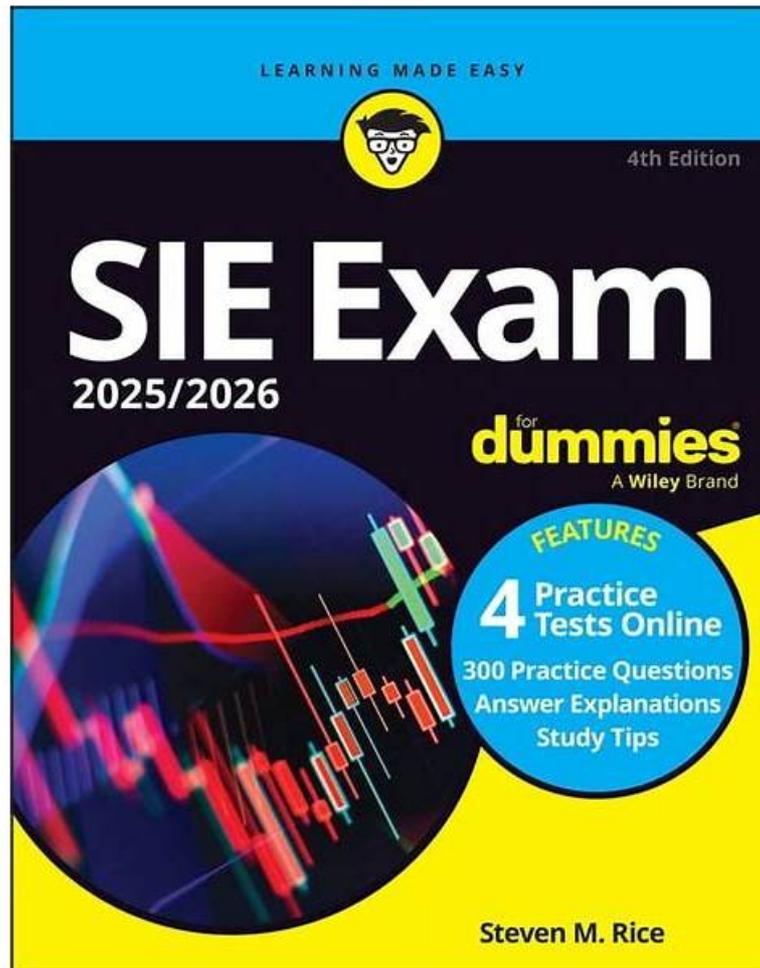


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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.
Topic 2	<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 3	<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 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.
Topic 5	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q51-Q56):

NEW QUESTION # 51

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. Such plans must be reviewed with the IRS.
- C. They are governed by ERISA rules.
- 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 # 52

Which of the following security types is frequently offered to the public as part of a package or unit that also includes a fixed income obligation?

- A. Preferred stock
- **B. Warrants**
- C. Common stock
- D. Options

Answer: B

Explanation:

Step by Step Explanation:

* Warrants: Are often issued alongside fixed-income securities, such as bonds, to enhance their appeal to investors. Warrants give the holder the right to purchase company stock at a specific price in the future.

* Incorrect Options:

* Options: Not typically bundled with fixed-income securities.

* Common and Preferred Stock: Usually issued separately, not as part of a package with bonds.

References:

* SEC Guide on Warrants: SEC Warrants Information.

NEW QUESTION # 53

An investor wants to purchase additional mutual fund shares with income distributed by the fund. Which of the following fund options permits this?

- A. Asset reallocation
- B. Dollar cost averaging
- **C. Dividend reinvestment**
- D. Capital gains reinvestment

Answer: C

Explanation:

Step by Step Explanation:

* Dividend Reinvestment Plans (DRIPs): These allow investors to automatically reinvest income distributed by the mutual fund to purchase additional shares.

* Dollar Cost Averaging: Refers to systematic investments over time, not directly tied to income distributions.

* Capital Gains Reinvestment: Involves reinvesting profits from the sale of fund holdings, which is distinct from dividend reinvestment.

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FINRA Mutual Fund Features: FINRA Mutual Funds.

NEW QUESTION # 54

SEC regulations permit a company to issue securities exempted from registration requirements of the Securities Act of 1933 under which of the following conditions?

- A. Offerings sold inside of the U.S. to non-U.S. persons
- B. Offerings sold with an aggregate price exceeding \$5 million
- C. Offerings sold with no more than 40 accredited investors
- **D. Offerings with no more than 35 non-accredited investors and an unlimited number of accredited investors**

Answer: D

Explanation:

Step by Step Explanation:

* Regulation D (Rule 506(b)): Allows offerings to an unlimited number of accredited investors and up to 35 non-accredited investors, provided certain disclosure requirements are met.

* Incorrect Options:

* A: Refers to Regulation S, which governs offshore offerings, not domestic exemptions.

- * B: There is no 40-investor limit in Regulation D.
- * C: The \$5 million limit applies to Rule 504, not Rule 506(b).

References:

- * SEC Regulation D: SEC Regulation D.

NEW QUESTION # 55

A hypothecation agreement gives the broker-dealer the right to engage in which of the following activities?

- A. Selling a customer's securities when the customer has failed to pay for trades in a cash account
- B. Entering trades in a customer's account without prior authorization from the customer
- C. Using securities that a customer has bought on margin as collateral to obtain a loan from a bank
- D. Sharing customers' nonpublic personal information with nonaffiliated third parties

Answer: C

Explanation:

Step by Step Explanation:

* Hypothecation Agreement: Required for margin accounts, it authorizes the broker-dealer to use the customer's margin securities as collateral to secure loans for funding customer transactions.

* Incorrect Options:

* A: Sharing customer information is regulated under privacy rules (Regulation S-P).

* B: Unauthorized trading violates securities laws.

* C: Selling unpaid securities in cash accounts pertains to Regulation T, not hypothecation agreements.

:

FINRA Margin Account Rules: FINRA Rule 4210.

NEW QUESTION # 56

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