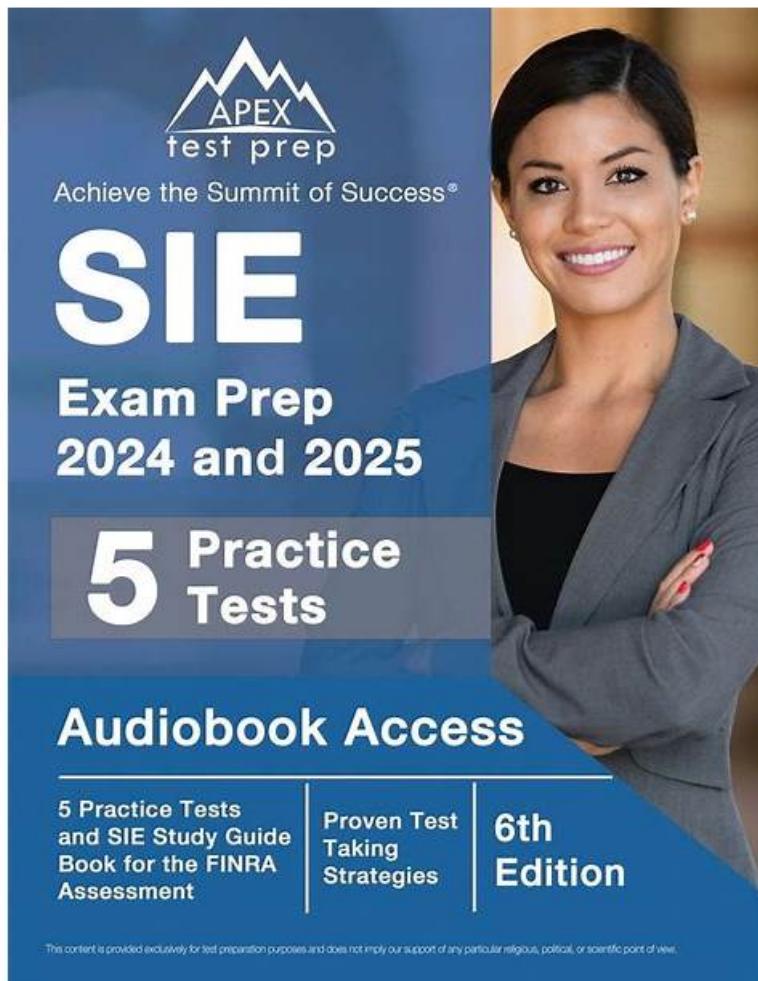


# SIE Latest Exam Guide & SIE Valid Questions Test & SIE Free Download Pdf



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## FINRA SIE Exam Syllabus Topics:

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

Topic 2	<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>
Topic 3	<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>

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q244-Q249):

### NEW QUESTION # 244

A registered representative wants to open an account for himself at a different financial institution. Under FINRA rules, which of the following accounts requires prior written consent from his employing broker-dealer?

- A. A 529 savings plan account established for his grandchild
- B. Variable contracts registered under the Investment Company Act
- C. Mutual fund accounts held directly with the fund company
- D. An investment advisory account in which securities transactions are effected**

### Answer: D

Explanation:

Step by Step Explanation:

\* FINRA Rule 3210: Requires registered representatives to obtain written consent from their employing broker-dealer before opening accounts at other financial institutions if securities transactions will occur.

\* Incorrect Options:

\* A, B, and C: These accounts are exempt because they do not involve direct securities transactions requiring monitoring.

References:

\* FINRA Rule 3210 (Accounts at Other Institutions): FINRA Rule 3210.

### NEW QUESTION # 245

In performing fundamental analysis of an equity, which of the following elements should an investor consider?

- A. Chart patterns
- B. Resistance and support levels
- C. Moving average
- D. Financial statements**

### Answer: D

Explanation:

Fundamental analysis focuses on evaluating a company's financial health and potential for growth by analyzing its financial statements,

such as the income statement, balance sheet, and cash flow statement.

\* C is correct because financial statements provide the data necessary for fundamental analysis.

\* A and B are incorrect because chart patterns and moving averages are tools of technical analysis, not fundamental analysis.

\* D is incorrect because resistance and support levels are also part of technical analysis.

Reference: SIE Study Guide, Chapter 6: Fundamental Analysis

#### NEW QUESTION # 246

Which of the following products is the most appropriate class of investments for a customer looking for income and capital gains?

- A. A blue-chip stock mutual fund
- B. Treasury Separate Trading of Registered Interest and Principal of Securities (STRIPS)
- C. A money market account
- D. A growth stock

**Answer: A**

Explanation:

Step by Step Explanation:

\* Blue-Chip Stock Mutual Funds: Invest in large, established companies that typically provide stable dividend income and potential for capital appreciation.

\* Incorrect Options:

\* A: Growth stocks prioritize capital appreciation, not income.

\* B: Money market accounts focus on safety and liquidity, not capital gains.

\* D: STRIPS provide fixed income without capital gains potential.

:

FINRA Investment Product Education: FINRA Investment Guidance.

#### NEW QUESTION # 247

Under SEC Regulation D, which of the following parties is considered an accredited investor?

- A. A person whose net worth, excluding the net equity in their primary residence, exceeds \$500,000 at the time of purchase.
- B. A person whose joint income with their spouse exceeds \$200,000 in each of the two most recent years and who has a reasonable expectation of reaching the same income level in the current year.
- C. A charitable organization, partnership, or corporation whose assets exceed \$2.5 million.
- D. A person whose net worth, excluding the net equity in their primary residence, exceeds \$1 million at the time of purchase.

**Answer: D**

Explanation:

Step by Step Explanation:

\* Definition of Accredited Investor: As per SEC Regulation D, Rule 501, an accredited investor includes:

\* Individuals with a net worth exceeding \$1 million (excluding primary residence equity).

\* Individuals with an annual income exceeding \$200,000 (or \$300,000 jointly with a spouse) for the past two years.

\* Elimination of Incorrect Answers:

\* \$500,000 threshold (option B) is too low to qualify under Regulation D.

\* Option D is incorrect as it requires assets of \$5 million, not \$2.5 million.

SEC Regulation D, Rule 501 (Accredited Investor Definition): SEC Regulation D.

#### NEW QUESTION # 248

Which of the following securities issued by a corporation allows the owner to vote on matters of the corporation?

- A. Warrant
- B. Corporate bond
- C. Common stock
- D. Preferred stock

**Answer: C**

### Explanation:

Common stock typically provides the owner with voting rights on key corporate matters, making answer B correct. Common shareholders generally vote to elect the board of directors and may vote on significant corporate actions such as mergers, major reorganizations, or other proposals submitted for shareholder approval. Voting rights are a core distinguishing feature of common stock and are frequently tested on the SIE as part of understanding equity ownership and shareholder rights.

A warrant (choice A) is a derivative-like security that gives the holder the right to purchase the issuer's stock at a specified price before expiration. Warrant holders do not have voting rights unless and until they exercise the warrant and become stockholders. Preferred stock (choice C) typically has characteristics closer to a hybrid: it pays a stated dividend and often has priority over common stock in dividends and liquidation, but it usually does not carry voting rights (though preferred may gain voting rights in special situations, such as when dividends are in arrears, depending on the issue terms). A corporate bond (choice D) is debt; bondholders are creditors, not owners, and generally do not vote on corporate governance matters (though bond covenants may provide protections and certain consent rights in specific restructuring situations).

The SIE emphasizes the relationship between security type and investor rights: equity ownership (common stock) comes with participation in corporate governance through voting, while debt instruments provide contractual cash flows and creditor protections but not ownership voting rights.

## NEW QUESTION # 249

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