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## FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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>
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-til-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>
Topic 4	<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 5	<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>

## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q216-Q221):

### NEW QUESTION # 216

At a prospecting event, a registered representative (RR) provides cards for attendees to write down their contact information if they want to have a follow-up meeting with her. Which of the following actions should the RR take in this situation to comply with telemarketing rules?

- A. Limit contact with prospects to between 9 a.m. and 9 p.m.
- B. Contact the prospects at will since they provided express written consent
- C. Prior to contacting the prospects, check all of the names on the cards to make sure they are not on the National Do Not Call Registry
- D. Obtain the broker-dealer's approval before making a call

**Answer: C**

Explanation:

Step by Step Explanation:

\* Telemarketing Rules (FINRA Rule 3230): Require firms to check the National Do Not Call Registry before contacting individuals, even if those individuals provide their contact information voluntarily.

\* Incorrect Options:

\* A: Approval isn't required for individual follow-ups; compliance with the registry is.

\* B: While calls must be limited to appropriate hours, the registry check is still mandatory.

\* C: Written consent does not override the registry requirement.

FINRA Rule 3230 (Telemarketing): FINRA Rule 3230.

### NEW QUESTION # 217

Which of the following company details is included on a balance sheet?

- A. Revenues and expenses
- B. Assets, debts and the amount invested in the company
- C. Earnings at a specific point in time
- D. Assets, debts and number of investors

**Answer: B**

Explanation:

A balance sheet provides a snapshot of a company's financial position at a specific point in time by showing what the company owns and owes, and the residual value attributable to owners. The core balance sheet equation is Assets = Liabilities + Shareholders' Equity. That is why the best description among the choices is

"assets, debts, and the amount invested in the company"-assets correspond to resources owned, debts correspond to liabilities

owed, and the "amount invested" corresponds to equity (often including paid-in capital and retained earnings). This aligns with how fundamental analysis uses financial statements to evaluate issuer health, leverage, and capitalization.

Choice A (revenues and expenses) describes an income statement, which measures operating performance over a period of time (e.g., a quarter or a year), not a point-in-time snapshot. Choice B is misleading: while a balance sheet is indeed "at a specific point in time," it does not show "earnings" at a point in time. Earnings are generated over a period and appear on the income statement; the balance sheet may reflect accumulated earnings through retained earnings, but it is not an earnings statement. Choice C is incorrect because the balance sheet does not include the "number of investors" as a standard line item. Public companies disclose shares outstanding elsewhere, but investor count is not a balance sheet category.

For SIE purposes, the key is recognizing which statement answers which question: balance sheet = financial position (assets, liabilities, equity), income statement = profitability (revenue, expenses, net income), and cash flow statement = sources/uses of cash.

### NEW QUESTION # 218

Which of the following responses best describes a short sale?

- A. A sale of securities that results in a loss
- **B. A sale of securities that the investor does not own**
- C. A sale of securities that results in an unsecured debit balance in the investor's account
- D. A sale of securities that the investor had purchased in his cash account but had not yet paid for

**Answer: B**

Explanation:

Step by Step Explanation:

\* Short Sale Definition: Involves selling borrowed securities with the expectation of repurchasing them at a lower price.

\* Investor Ownership: Short sales do not involve securities already owned by the seller.

\* Other Options: None of the other choices accurately define a short sale.

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SEC Regulation SHO (Short Selling): SEC Short Sales.

### NEW QUESTION # 219

When is it permissible to exercise European-style options contracts?

- A. Only on the day after expiration
- **B. Only on the day of expiration**
- C. Only on the third Friday of every month
- D. Only on the last business day before expiration

**Answer: B**

Explanation:

Step by Step Explanation:

\* European-Style Options: Can only be exercised on their expiration date, unlike American-style options, which can be exercised any time before expiration.

\* Incorrect Options:

\* A: Not accurate; the exercise must occur specifically on the expiration date.

\* C: Options cannot be exercised after expiration.

\* D: The expiration date depends on the option contract, not a specific weekday.

References:

\* Options Clearing Corporation (OCC) Guidelines: OCC European Options.

### NEW QUESTION # 220

The formation of an asset-backed security or debt obligation that represents a claim on the cash flows from mortgage loans is known as:

- A. Claim processing
- **B. Securitization**
- C. Loan processing

- D. Hypothecation

**Answer: B**

Explanation:

Step by Step Explanation:

\* Securitization: The process of pooling financial assets, such as mortgage loans, and creating asset-backed securities that investors can buy.

\* Incorrect Options:

\* B: Hypothecation refers to pledging assets as collateral.

\* C & D: Loan and claim processing are administrative terms, not related to the creation of securities.

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SEC Guidance on Asset-Backed Securities: SEC ABS Info.

## NEW QUESTION # 221

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