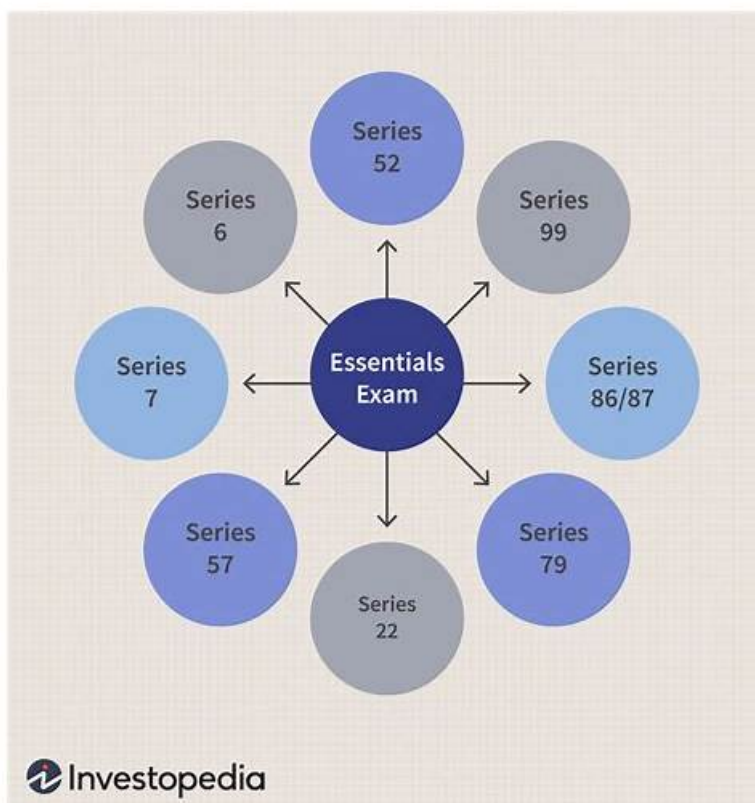


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FINRA SIE 考試大綱：

主題	簡介

主題 1	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.
主題 2	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.
主題 3	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.
主題 4	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.

最新的 General Securities Representative SIE 免費考試真題 (Q44-Q49):

問題 #44

Which of the following is not a pass-through entity for tax purposes?

- A. A C corporation
- B. A limited liability company (LLC)
- C. A real estate investment trust (REIT)
- D. An S corporation

答案: A

解題說明:

A pass-through entity does not pay corporate income taxes; instead, income is passed to owners, who report it on their individual tax returns.

* A is correct because C corporations are not pass-through entities; they pay corporate taxes.

* B, C, and D are all pass-through entities for tax purposes.

問題 #45

Under FINRA rules, which of the following activities is not considered an outside business activity (OBA)?

- A. Selling real estate
- B. Passively investing in a multifamily house for rental purposes
- C. Selling health insurance
- D. Professionally refereeing athletic events

答案: B

解題說明:

Step by Step Explanation:

* Outside Business Activity Definition: Per FINRA Rule 3270, an OBA involves compensated business activities outside the scope of the RR's role at their firm. Passive investments are excluded because they do not require active involvement.

* Incorrect Options:

* A, B, and C: Selling real estate, selling insurance, and refereeing are considered OBAs as they involve active participation and

compensation.

:

FINRA Rule 3270 (Outside Business Activities); FINRA Rule 3270.

問題 #46

Under which of the following circumstances, if any, is it permissible for an individual without a Power of Attorney (POA) to sign a customer's name on their behalf?

- A. When accounts are fully discretionary
- B. Upon receipt of verbal authorization provided that written authorization is subsequently provided
- C. Upon approval by a firm principal
- **D. Never permissible to sign a customer's name on their behalf**

答案： D

解題說明：

Step by Step Explanation:

* Prohibition on Signing Customer Names: It is never permissible to sign a customer's name without written authorization (POA) due to legal and ethical concerns. Unauthorized signing constitutes forgery and violates FINRA rules.

* Incorrect Options:

* A: Firm principal approval does not override this prohibition.

* B: Verbal authorization is insufficient.

* C: Discretionary authority does not allow unauthorized signing.

:

FINRA Rule 4512 (Customer Account Information); FINRA Rule 4512.

問題 #47

An investor buys 100 shares of a stock at \$50.00 per share. The company declares a 10% stock dividend. What will the investor's cost basis per share be following the payment of the dividend?

- A. \$50.50
- B. \$50.00
- **C. \$45.45**
- D. \$45.00

答案： C

解題說明：

A stock dividend increases the number of shares owned without affecting the total cost basis. The new cost basis per share is calculated by dividing the original total investment by the new number of shares:

* Original total investment = 100 shares × \$50.00 = \$5,000

* After a 10% stock dividend, the investor owns 110 shares.

* New cost basis = \$5,000 ÷ 110 shares = \$45.45 per share.

* B is correct because it reflects the adjusted cost basis per share.

Reference: IRS Publication 550: Investment Income and Expenses

問題 #48

A broker-dealer (BD) creates a marketing postcard that includes a statement regarding FINRA's endorsement of the BD. Which of the following responses is true?

- A. The statement is permissible if the postcard does not discuss specific investment opportunities.
- B. The statement is permissible if a principal of the BD approves it in writing prior to use.
- **C. The statement regarding FINRA's endorsement is not permissible.**
- D. The statement is permissible if the statement is approved in writing by FINRA prior to use.

答案： C

解題說明：

Step by Step Explanation:

* FINRA Rule 2210: Firms are prohibited from suggesting or implying FINRA's endorsement or approval in any advertising materials.

* Approvals: Even if a principal or FINRA approves the content, such a statement remains impermissible.

* Key Point: FINRA's role is to regulate, not to endorse firms or their marketing.

:

FINRA Rule 2210 (Communications with the Public): FINRA Rule 2210.

問題 #49

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