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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>

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Topic 2	<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 3	<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 4	<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-till-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.</li> </ul>

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## New SIE Test Dumps - SIE Practice Test

Now is not the time to be afraid to take any more difficult Securities Industry Essentials Exam (SIE) SIE certification exams. Our SIE learning quiz can relieve you of the issue within limited time. Our website provides excellent SIE learning guidance, practical questions and answers, and questions for your choice which are your real strength. You can take the FINRA SIE Training Materials and pass it without any difficulty.

## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q84-Q89):

### NEW QUESTION # 84

A registered representative (RR) intends to enter into an arrangement for compensation with an unaffiliated entity to participate in the sale of promissory notes to the general public. Which of the following statements is true?

- **A. The RR must receive written approval from his firm prior to entering into this arrangement.**
- B. This is a permissible arrangement, and the RR is only required to notify his firm.
- C. The RR is required to notify his firm regarding this arrangement if compensation received is directly related to transactions.
- D. The RR is not required to provide prior notice to his firm as promissory notes are not considered securities.

**Answer: A**

Explanation:

Step by Step Explanation:

\* Private Securities Transactions: Under FINRA Rule 3280, RRs must obtain written approval from their employing firm before participating in the sale of securities outside the firm.

\* Promissory Notes: These are typically considered securities, requiring prior approval.

\* Incorrect Options:

\* A & C: Notification alone is insufficient; written approval is required.

\* D: Promissory notes are generally treated as securities under federal law.

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FINRA Rule 3280 (Private Securities Transactions): FINRA Rule 3280.

### NEW QUESTION # 85

An investor is bullish on the technology sector and heavily invests in microchip companies. Impactful regulatory changes are announced that will negatively affect microchip manufacturing. In order to mitigate the risk to his portfolio, the investor should:

- A. Sell holdings that are unaffected by the regulatory changes.
- B. Purchase shares of other microchip companies in the technology sector.

- C. Purchase holdings uncorrelated to the technology sector.
- D. Buy more shares of the microchip companies already in his portfolio.

**Answer: C**

Explanation:

The announcement of negative regulatory changes introduces unsystematic risk, specific to the technology sector. Diversification into unrelated sectors can reduce exposure to this risk.

- \* A is correct because uncorrelated holdings reduce portfolio risk.
- \* B is incorrect because adding more microchip companies increases exposure to sector-specific risk.
- \* C does not address the core issue of over-concentration.
- \* D is the opposite of mitigating risk.

#### NEW QUESTION # 86

A customer holds 1,000 shares of Company XYZ and wants to sell covered calls against this position. What is the maximum number of contracts that the customer could sell and still remain covered?

- A. 1,000 contracts
- B. 5 contracts
- C. 10 contracts
- D. 100 contracts

**Answer: C**

Explanation:

Each option contract represents 100 shares. A covered call involves selling a call option while holding an equivalent number of shares to deliver if the option is exercised.

- \* The customer owns 1,000 shares.
- \* Since 1 contract = 100 shares, the maximum number of contracts the customer can sell is:  $1,000 \text{ shares} \div 100 \text{ shares/contract} = 10 \text{ contracts}$ .
- \* B is incorrect because selling 10 contracts corresponds to 1,000 shares, fully covering the position.

#### NEW QUESTION # 87

The cash value of a variable life insurance policy is affected by which of the following factors?

- A. Fluctuating market conditions
- B. Changes in the death benefit
- C. Changes in the beneficiary
- D. Contingent deferred sales charges

**Answer: A**

Explanation:

Step by Step Explanation:

- \* Variable Life Insurance: The cash value depends on the performance of the underlying investment options.
- \* Fluctuating Market Conditions: Since the cash value is linked to market performance, fluctuations directly impact its value.
- \* Beneficiary/Death Benefit Changes: These do not directly impact the cash value unless they involve additional costs or changes to premiums.

References:

- \* SEC Bulletin on Variable Life Insurance: SEC Variable Insurance.

#### NEW QUESTION # 88

An investor generally purchases an open-end mutual fund from which of the following parties?

- A. The NYSE
- B. The fund's custodian
- C. The fund's underwriter
- D. An existing shareholder

**Answer: C**

Explanation:

### Step by Step Explanation:

\* Open-End Mutual Funds: Shares are purchased directly from the fund or its underwriter at the current Net Asset Value (NAV), plus any applicable sales charges.

\* Custodian: Holds the fund's assets but does not sell shares.

\* NYSE and Shareholders: Open-end funds do not trade on exchanges or between individual shareholders.

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## SEC Mutual Fund Basics: SEC Mutual Funds.

### NEW QUESTION # 89

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