

SIE Study Demo & SIE Exam Format



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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	• 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 2	• 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 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.

>> SIE Study Demo <<

SIE Exam Format - Flexible SIE Learning Mode

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q162-Q167):

NEW QUESTION # 162

A customer purchases 100 shares of stock on Thursday, August 2. This transaction must settle regular way no later than:

- A. Wednesday, August 8
- B. Friday, August 3
- **C. Monday, August 6**
- D. Tuesday, August 7

Answer: C

Explanation:

Step by Step Explanation:

* Regular-Way Settlement: For equity securities, settlement occurs on a T+2 basis, meaning two business days after the trade date.

* Calculation:

* Trade Date (T): Thursday, August 2.

* T+2 Settlement: Excludes weekends, so settlement falls on Monday, August 6.

* Incorrect Options:

* A: Reflects T+1, not the correct settlement cycle.

* C & D: Extend beyond the standard T+2 cycle.

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FINRA and SEC Settlement Rules: SEC Settlement Rules.

NEW QUESTION # 163

Which of the following products is redeemable at net asset value (NAV)?

- **A. Open-end mutual funds**
- B. Municipal bonds
- C. Options contracts
- D. Corporate stock

Answer: A

Explanation:

Open-end mutual funds are redeemable securities, meaning investors can sell their shares back to the fund at the NAV.

* D is correct because mutual funds allow redemption at NAV.

* A, B, and C are not redeemable securities.

NEW QUESTION # 164

Which of the following transactions gives a U.S. citizen the most efficient means to invest in the stock of an overseas corporation that trades only on a foreign exchange?

- **A. Purchase an American Depositary Receipt (ADR) on a domestic exchange**
- B. Purchase an ETF on the foreign exchange
- C. Purchase a U.S.-based mutual fund that invests in foreign stocks
- D. Purchase an option on the stock on a domestic exchange

Answer: A

Explanation:

American Depositary Receipts (ADRs) allow U.S. investors to efficiently invest in foreign corporations without the need to trade on foreign exchanges. ADRs are traded on U.S. exchanges and represent shares of foreign companies.

* D is correct because ADRs are designed for this purpose, simplifying currency exchange and reporting requirements for U.S. investors.

* A is incorrect because directly purchasing an ETF on a foreign exchange requires additional steps, such as foreign account setup.

* B is incorrect because options are derivative products, not direct investments in the stock.

* C is less efficient because mutual funds may not provide direct exposure to the specific corporation.

NEW QUESTION # 165

A company files a registration statement with the SEC to register a new Issue of securities. The company does not plan to sell all the registered shares at this time and instead plans to gradually sell new shares over a three- year period. This registration is called a:

- A. shelf registration.
- B. best efforts offering.
- C. SEC Regulation S offering.
- D. Rule 144 offering.

Answer: A

NEW QUESTION # 166

When the index level and strike price of a listed index option are the same, the option is:

- A. In the money.
- B. Trading at intrinsic value only.
- C. At the money.
- D. Out of the money.

Answer: C

Explanation:

An option is considered "at the money" when the current price of the underlying asset (or index level) equals the option's strike price.

* B is correct because the index level equals the strike price.

* A is incorrect because "in the money" requires the option to have intrinsic value (e.g., for a call, the index level must be above the strike price).

* C is incorrect because "out of the money" applies when the index level is below the strike price (for calls) or above it (for puts).

* D is incorrect because "at the money" options have no intrinsic value.

NEW QUESTION # 167

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