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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none">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.
Topic 2	<ul style="list-style-type: none">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 3	<ul style="list-style-type: none">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.
Topic 4	<ul style="list-style-type: none">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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q129-Q134):

NEW QUESTION # 129

Under FINRA rules, which of the following events does not require a registered representative to update her Form U4 disclosure?

- A. Regulatory disciplinary actions
- B. Felony convictions
- C. Any resolution of customer complaints involving payment of \$15,000 or more
- D. **Receipt of a deficiency letter after an internal compliance audit**

Answer: D

NEW QUESTION # 130

An investor wants to purchase mutual fund shares, but she is concerned about the tax efficiency of the fund.

Which of the following disclosures required under industry regulations will help the investor make an informed decision?

- A. Projections of future dividend and capital gains distributions
- B. The commissions that the fund pays on each transaction
- C. **The fund's turnover ratio**
- D. Sales charges and breakpoint discount opportunities

Answer: C

Explanation:

Step by Step Explanation:

* Turnover Ratio: Indicates how frequently the fund manager buys and sells securities. A high turnover ratio may result in higher capital gains distributions, impacting tax efficiency.

* Incorrect Options:

- * B: Sales charges affect cost but not tax efficiency.
- * C: Commission details are unrelated to the fund's tax efficiency.
- * D: Projections of distributions are speculative and not disclosed under regulations.

References:

* SEC Mutual Fund Guide: SEC Mutual Funds.

NEW QUESTION # 131

Which of the following events requires reporting on a Form U4?

- A. A gross-misdemeanor domestic assault conviction
- B. A misdemeanor speeding ticket
- C. A bench warrant for missing a court date
- D. **A felony conviction for drunk driving**

Answer: D

Explanation:

Form U4 (Uniform Application for Securities Industry Registration or Transfer) requires disclosure of any felony convictions, regardless of whether they are securities-related. A felony conviction for drunk driving falls under this requirement.

* B is correct because a felony conviction must be reported on Form U4.

* A is incorrect as misdemeanor speeding tickets do not require disclosure unless they involve fraud, theft, or dishonesty.

* C is incorrect as bench warrants are not reportable unless they lead to a conviction.

* D is incorrect because gross misdemeanors (except those involving fraud or dishonesty) do not require reporting.

Reference: FINRA By-Laws, Article V, Section 2; Form U4 Instructions

NEW QUESTION # 132

An individual investor has \$300,000 in cash and \$400,000 in securities held with a financially troubled SIPC member firm for which liquidation has begun. The individual investor's cash is protected for what amount?

- A. \$250,000
- B. \$700,000
- C. \$150,000
- D. \$300,000

Answer: A

Explanation:

Step by Step Explanation:

* SIPC Coverage Limits: Protects up to \$500,000 per customer, including a maximum of \$250,000 for cash.

* In this case, \$300,000 in cash exceeds the SIPC limit, so only \$250,000 is protected.

* Incorrect Options:

* A: \$150,000 understates the SIPC limit for cash.

* C: The full \$300,000 in cash is not protected.

* D: Total coverage exceeds SIPC limits.

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SIPC Coverage Details: SIPC Protection.

NEW QUESTION # 133

In a rising interest rate environment, which of the following statements is true regarding the price of fixed-rate corporate bonds?

- A. Their price will depreciate in value.
- B. Their price will appreciate in value.
- C. Their price will revert to par value.
- D. Their price will remain constant.

Answer: A

Explanation:

When interest rates rise, the price of fixed-rate corporate bonds falls because the bond's coupon payments become less attractive compared to new bonds issued at higher rates.

* D is correct as bond prices move inversely to interest rates.

* A is incorrect because bond prices fluctuate with interest rate changes.

* B is incorrect because bond prices revert to par only at maturity.

* C is incorrect because prices do not appreciate when rates rise.

Reference: SIE Study Guide, Chapter 3: Interest Rates and Bond Prices

NEW QUESTION # 134

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