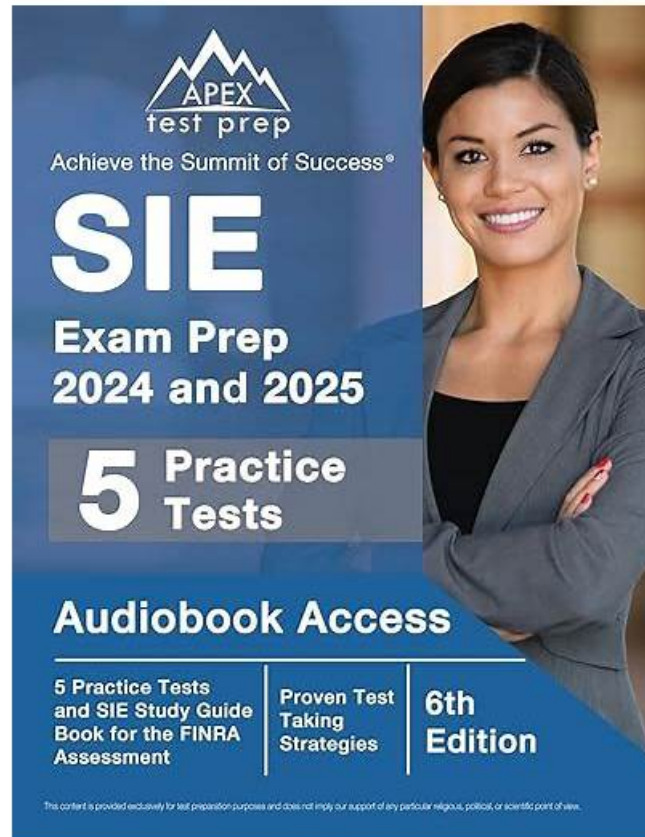


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<ul style="list-style-type: none">• 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.
Topic 3	<ul style="list-style-type: none">• 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.
Topic 4	<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 5	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q78-Q83):

NEW QUESTION # 78

A Treasury bill is issued under which of the following terms?

- **A. At a discount**
- B. At par
- C. At a stated rate of interest
- D. At par plus interest

Answer: A

Explanation:

Treasury bills (T-bills) are short-term debt securities issued at a discount to par value. The difference between the purchase price and the par value represents the investor's interest income, which is realized when the T-bill matures.

* C is correct because T-bills are issued at a discount and mature at par.

* A is incorrect because T-bills are not sold at par value.

* B and D are incorrect because T-bills do not pay periodic interest; the return is based on the discount.

Reference: SIE Study Guide, Chapter 3: U.S. Treasury Securities

NEW QUESTION # 79

Which of the following statements best describes an American Depositary Receipt (ADR)?

- A. ADRs trade like U.S. issues and are quoted in U.S. dollars.
- B. ADRs represent shares of a foreign security held in foreign commercial banks.
- C. ADRs represent shares of a U.S. security held in foreign commercial banks.
- D. ADRs trade like U.S. issues and are quoted in foreign currency.

Answer: A

Explanation:

Step by Step Explanation:

* ADRs: Represent foreign securities but are issued in the U.S. and quoted in U.S. dollars, making them easier for American investors to trade.

* Incorrect Options:

* B: ADRs are quoted in U.S. dollars, not foreign currencies.

* C & D: ADRs represent foreign securities held by U.S. banks, not foreign banks.

References:

* SEC Bulletin on ADRs: SEC ADR Overview.

NEW QUESTION # 80

Which of the following security types is frequently offered to the public as part of a package or unit that also includes a fixed income obligation?

- A. Options
- B. Preferred stock
- C. Common stock
- D. Warrants

Answer: D

Explanation:

Step by Step Explanation:

* Warrants: Are often issued alongside fixed-income securities, such as bonds, to enhance their appeal to investors. Warrants give the holder the right to purchase company stock at a specific price in the future.

* Incorrect Options:

* Options: Not typically bundled with fixed-income securities.

* Common and Preferred Stock: Usually issued separately, not as part of a package with bonds.

:

SEC Guide on Warrants: SEC Warrants Information.

NEW QUESTION # 81

A currency devaluation impacts a country's economic activity in which of the following ways?

- A. Decreases inflation
- B. Increases imports from merchandise trade countries
- C. Decreases gross domestic product (GDP)
- D. Makes exports cost less in merchandise trade countries

Answer: D

Explanation:

Currency devaluation reduces the value of a country's currency relative to others, making its exports cheaper and more competitive internationally. This stimulates demand for the country's goods and services.

* D is correct because devaluation reduces export costs, encouraging foreign buyers.

* A is incorrect because devaluation can increase inflation by raising the cost of imported goods.

* B is incorrect because GDP often rises due to increased export demand.

* C is incorrect because imports become more expensive after devaluation, reducing demand.

NEW QUESTION # 82

Which of the following responses describes a FINRA member?

- A. A registered representative with a national securities exchange
- B. A natural person who is employed by a broker-dealer (BD)
- C. A BD regulated by a national securities association
- D. An associated person of a registered brokerage firm

Answer: C

Explanation:

A FINRA member is a broker-dealer that is registered with FINRA and regulated by a national securities association. Individuals employed by the member firm (e.g., registered representatives) are associated persons, not members themselves.

* D is correct because FINRA membership applies to broker-dealers, not individuals.

* A, B, and C are incorrect because they refer to individuals or roles within member firms, not the firms themselves.

Reference: FINRA Rule 0140 (Membership)

NEW QUESTION # 83

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