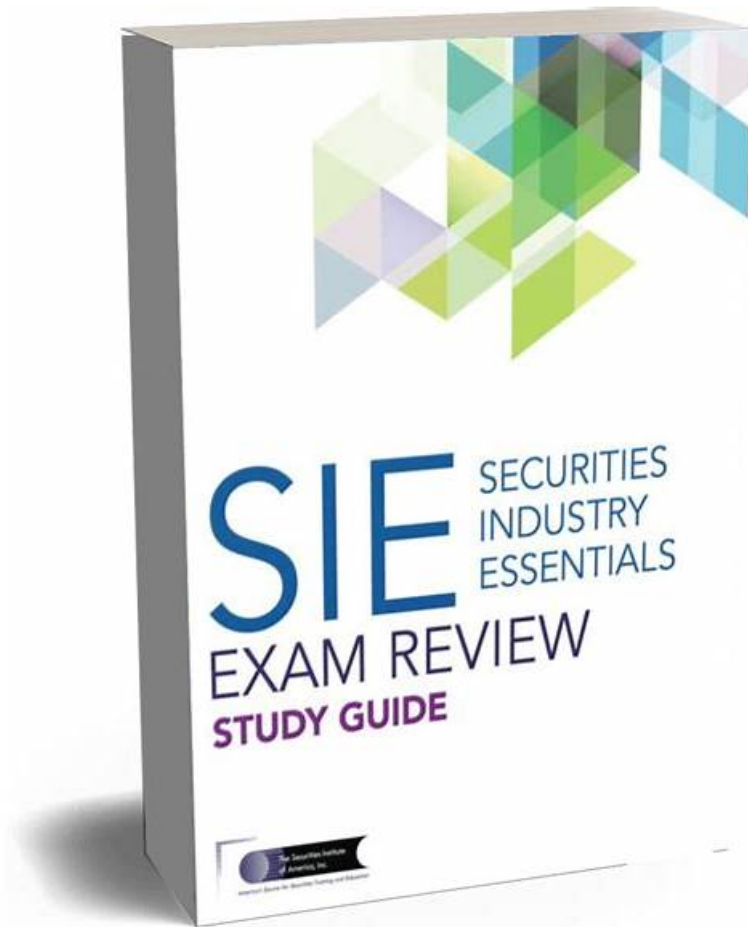


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SIE Praxisprüfung, SIE Prüfung

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FINRA SIE Prüfungsplan:

Thema	Einzelheiten
Thema 1	<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.
Thema 2	<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.
Thema 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.
Thema 4	<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.

FINRA Securities Industry Essentials Exam (SIE) SIE Prüfungsfragen mit Lösungen (Q220-Q225):

220. Frage

A grandfather establishes a Uniform Transfers to Minors Act (UTMA) custodial account for his grandson and appoints an attorney as custodian. Which of the following individuals owns the account?

- A. Grandson's parent
- B. Grandfather
- C. Attorney
- **D. Grandson**

Antwort: D

Begründung:

In a UTMA account, the minor is the legal owner of the account. The custodian (in this case, the attorney) manages the account until the minor reaches the age of majority specified by state law.

* C is correct because the grandson (the minor) is the account's legal owner.

* A is incorrect because the attorney is the custodian, not the owner.

* B is incorrect because the grandfather established the account but does not own it.

* D is incorrect because the parent does not have ownership unless explicitly named as the custodian.

Reference: SIE Study Guide, Chapter 9: Custodial Accounts

221. Frage

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. Upon receipt of verbal authorization provided that written authorization is subsequently provided
- B. When accounts are fully discretionary
- C. Upon approval by a firm principal

- D. Never permissible to sign a customer's name on their behalf

Antwort: D

Begründung:

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.

222. Frage

Which of the following rates is subject to the most frequent changes?

- A. Call loan
- B. Prime
- C. Federal funds
- D. Discount

Antwort: C

Begründung:

The federal funds rate, which is the interest rate banks charge each other for overnight loans, changes frequently due to daily fluctuations in bank reserves and market conditions.

* D is correct as it is the most sensitive to short-term market forces.

* A, B, and C change less frequently.

Reference: SIE Study Guide, Chapter 2: Interest Rates

223. Frage

An elderly customer wants to use \$50,000 to open an investment account that would allow her assets to bypass probate. Her registered representative advises her to create:

- A. An individual retirement account
- B. A separately managed account
- C. A trust account
- D. A power of attorney

Antwort: C

Begründung:

A trust account can be structured so that assets pass according to the terms of the trust and avoid probate.

Probate is the court-supervised process for distributing assets after death. A properly established trust can hold investment assets for the benefit of named beneficiaries and provide continuity of control, privacy, and estate-transfer efficiency. Choice A is correct. A power of attorney authorizes another person to act on behalf of the customer during the customer's lifetime, but the authority generally terminates at death and does not itself bypass probate. A separately managed account is an investment management arrangement, not an estate-transfer structure. An individual retirement account has beneficiary designations and tax features, but the question asks for an investment account structure designed to allow assets to bypass probate; a trust account is the most direct and appropriate answer. The SIE outline includes customer account registrations, including trust accounts, individual accounts, retirement accounts, and other account types. This question tests the functional difference between account registration forms and estate-planning authority. Reference:

Understanding Trading, Customer Accounts and Prohibited Activities; Customer Account Registrations; Trust Accounts.

224. Frage

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

