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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 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.
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"> 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 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.
Topic 5	<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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q186-Q191):

NEW QUESTION # 186

When are registered persons required to fulfill their Continuing Education (CE) Regulatory Element requirement?

- A. Semiannually
- B. Upon the receipt of a customer complaint
- C. After the initial three-year requirement and then every two years
- D. Annually

Answer: C

Explanation:

FINRA's Continuing Education (CE) requirements include the Regulatory Element, which must be completed:

* Within 120 days of the second anniversary of a registered representative's initial registration.

* Every three years thereafter (changed to every two years as of 2023).

* C is correct because registered persons must complete the CE Regulatory Element after their initial requirement and then every two years.

* A and B are incorrect because CE is not required annually or semiannually.

* D is incorrect because CE is not tied to customer complaints.

NEW QUESTION # 187

Which of the following terms describes failure to honor a firm quote?

- A. Backing away
- B. Market manipulation
- C. Interpositioning
- D. Freeriding

Answer: A

Explanation:

Step by Step Explanation:

* Backing Away: Refers to the failure of a market maker to honor a firm quote when a customer attempts to trade at that price. It is a violation of market rules.

* Incorrect Options:

* Freeriding: Involves selling securities before paying for them in a cash account.

* Interpositioning: Involves unnecessary intermediaries in trades, which can harm customers.

* Market Manipulation: Covers a range of deceptive practices, such as wash trading or spoofing, not specific to honoring quotes.

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FINRA Rule 5220 (Firm Quote Rule): FINRA Rule 5220.

NEW QUESTION # 188

Publicly traded limited partnership interests are typically considered:

- A. Mutual funds
- **B. Equity securities**
- C. Derivative investments
- D. Fixed-income securities

Answer: B

Explanation:

Step by Step Explanation:

* Publicly Traded Limited Partnerships (PTPs): Represent ownership stakes, which categorize them as equity securities. PTPs often involve sectors like real estate or energy.

* Incorrect Options:

* A: Mutual funds are pooled investment vehicles, not partnerships.

* C: Fixed-income securities are debt instruments like bonds.

* D: Derivatives include options or futures, not ownership stakes.

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SEC Guidance on Publicly Traded Partnerships: SEC PTPs.

NEW QUESTION # 189

Which of the following products is the most appropriate class of investments for a customer looking for income and capital gains?

- A. A money market account
- **B. A blue-chip stock mutual fund**
- C. Treasury Separate Trading of Registered Interest and Principal of Securities (STRIPS)
- D. A growth stock

Answer: B

Explanation:

Step by Step Explanation:

* Blue-Chip Stock Mutual Funds: Invest in large, established companies that typically provide stable dividend income and potential for capital appreciation.

* Incorrect Options:

* A: Growth stocks prioritize capital appreciation, not income.

* B: Money market accounts focus on safety and liquidity, not capital gains.

* D: STRIPS provide fixed income without capital gains potential.

References:

* FINRA Investment Product Education: FINRA Investment Guidance.

NEW QUESTION # 190

A customer wants to open an account to trade covered calls and puts. Which of the following communications must be provided to the customer prior to approving the account for trading?

- **A. Options disclosure document (ODD)**
- B. MSRB Investor Brochure
- C. Margin disclosure statement
- D. Prospectus

Answer: A

Explanation:

FINRA Rule 2360 requires that customers receive the Options Disclosure Document (ODD), published by the Options Clearing Corporation (OCC), before they are approved to trade options. The ODD explains the risks and characteristics of options trading.

* D is correct because the ODD is mandatory for options account approval.

* A is incorrect because a prospectus is not specific to options trading.

* B is incorrect because the MSRB Investor Brochure applies to municipal securities.

* C is incorrect because a margin disclosure statement is required only for margin accounts.

Reference: FINRA Rule 2360 (Options)

