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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 3	<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 4	<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 5	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q250-Q255):

NEW QUESTION # 250

Which of the following statements characterizes the typical relationship between the market value of a municipal bond portfolio and interest rates?

- A. As interest rates increase, the market value goes up.
- B. As the market value goes up, interest rates stay constant.
- C. As the market value goes down, interest rates decrease.
- D. As interest rates decrease, the market value goes up.

Answer: D

Explanation:

Step by Step Explanation:

* Inverse Relationship: Bond prices and interest rates have an inverse relationship. When interest rates fall, existing bonds with higher coupon rates become more valuable, leading to an increase in market value.

* Incorrect Options:

* A: Market value decreases as interest rates increase.

* C: Interest rates and bond values move inversely, not in the same direction.

* D: Interest rates are not constant; they fluctuate over time.

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SEC Municipal Bonds Overview: SEC Municipal Bonds.

NEW QUESTION # 251

A retail investor owns shares of Mutual Fund ABC that paid a \$0.25 dividend on September 1 and closed at \$10.00. What is the opening price once this fund trades on the ex-dividend date?

- A. \$10.00
- B. \$10.25
- C. \$9.75
- D. \$9.25

Answer: C

Explanation:

Step by Step Explanation:

* Ex-Dividend Date Pricing: On the ex-dividend date, the mutual fund's price is adjusted downward by the amount of the dividend.

- * Closing Price: \$10.00
 - * Dividend: \$0.25
 - * Adjusted Opening Price: $\$10.00 - \$0.25 = \$9.75$.
 - * Incorrect Options:
 - * A: \$9.25 subtracts more than the dividend amount.
 - * C: \$10.00 does not reflect the dividend adjustment.
 - * D: \$10.25 adds to the price rather than subtracting the dividend.
- SEC Guidance on Mutual Fund Pricing: SEC Mutual Funds.

NEW QUESTION # 252

When making a mutual fund recommendation to a customer, a registered representative must consider all of the following factors except:

- A. the tax status of the customer.
- B. the age of the customer.
- C. the fund's independent ranking
- D. the investment objective of the fund.

Answer: C

NEW QUESTION # 253

A summary prospectus for a mutual fund must contain which of the following information?

- A. Investment objectives
- B. Projected return
- C. Fund's portfolio holdings
- D. Control persons and principal owners of the fund

Answer: A

Explanation:

Step by Step Explanation:

* Summary Prospectus Content: Must include key information such as the fund's investment objectives, risks, fees, and past performance. This helps investors make informed decisions.

* Incorrect Options:

* A: Projected returns are speculative and not included in the prospectus.

* C & D: Detailed portfolio holdings and control persons are included in the full prospectus, not the summary.

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SEC Rule 498 (Summary Prospectuses): SEC Prospectus Requirements.

NEW QUESTION # 254

Which of the following activities is permitted during the cooling-off period of an initial public offering (IPO)?

- A. Distribute final prospectus
- B. Market the new security to potential investors
- C. Deliver securities to purchasers
- D. Conduct sales to public investors

Answer: B

Explanation:

The cooling-off period begins after the registration statement is filed with the SEC and lasts for at least 20 days. During this time, the issuer and underwriters can market the securities but cannot finalize sales.

* D is correct because marketing (e.g., roadshows) is permitted during the cooling-off period.

* A is incorrect because the final prospectus is distributed after the offering is effective.

* B and C are incorrect because sales and deliveries are prohibited until the registration becomes effective.

Reference: Securities Act of 1933, Section 5

