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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">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">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 4	<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-til-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.

Topic 5	<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.
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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q239-Q244):

NEW QUESTION # 239

Which of the following characteristics best describes a benefit of a variable annuity subaccount?

- A. The account is managed by a third-party custodian and is, therefore, subject to lower management fees than those charged by the insurance company.
- B. The account represents the indebtedness of the insurance company that is subordinated to the claims of general creditors and, therefore, offers investors a higher rate of return.
- **C. The account is held separately from the insurance company's general account and, therefore, is protected from the claims of general creditors of the insurance company.**
- D. The account is held at a broker-dealer that is separate from the insurance company, thereby allowing tax-deferred investments in all types of securities products.

Answer: C

Explanation:

Variable annuity subaccounts are held in separate accounts, distinct from the insurance company's general account. This separation protects subaccount assets from claims by creditors in case the insurance company becomes insolvent.

- * C is correct because the separate account ensures creditor protection.
- * A is incorrect as management fees for variable annuities are often higher.
- * B is incorrect because the subaccounts are not held at broker-dealers.
- * D is incorrect as subaccounts do not represent subordinated debt.

Reference: SIE Study Guide, Chapter 7: Annuities

NEW QUESTION # 240

A broker-dealer (BD) is required to ensure a hyperlink to BrokerCheck is included on which of the following communications?

- **A. The BD's homepage intended for retail customers**
- B. An email response to a complaint from a retail customer
- C. A registered representative's (RR's) outgoing email
- D. An RR's social media site that identifies his BD employment

Answer: A

NEW QUESTION # 241

For a customer thinking about purchasing a high-income bond mutual fund, which of the following is considered the primary risk of the underlying securities in the portfolio?

- A. Political risk
- B. Taxability risk

- C. Purchasing power risk
- D. Credit risk

Answer: D

Explanation:

High-income bond mutual funds typically invest in lower-rated (junk) bonds that offer higher yields. These bonds are exposed to significant credit risk, as issuers may default on their payments.

- * A is correct because credit risk is the primary concern with high-yield bonds.
- * B is incorrect as political risk is more relevant for international investments.
- * C is incorrect because taxability risk is not specific to bond mutual funds.
- * D is incorrect because purchasing power risk is more relevant for fixed-income investments during inflationary periods but is not the primary risk here.

Reference: SIE Study Guide, Chapter 3: Risks Associated with Bonds

NEW QUESTION # 242

Which of the following entities is primarily responsible for providing internal settlement, accounting and tax support services for securities owned by an investment company?

- A. Broker-dealer
- B. Custodian
- C. Market maker
- D. Fund manager

Answer: B

NEW QUESTION # 243

The primary market is regulated by the SEC under which of the following acts?

- A. The Investment Company Act of 1940
- B. The Securities Act of 1933
- C. The Securities Exchange Act of 1934
- D. The Investment Advisers Act of 1940

Answer: B

Explanation:

The primary market deals with the issuance of new securities, which is regulated under the Securities Act of 1933. This act requires issuers to provide full disclosure of material information to investors to ensure transparency and fairness in new offerings.

- * A is correct because the Securities Act of 1933 governs initial offerings.
- * B is incorrect because the Securities Exchange Act of 1934 regulates secondary market trading.
- * C is incorrect because the Investment Advisers Act of 1940 pertains to investment advisers.
- * D is incorrect because the Investment Company Act of 1940 governs mutual funds and other investment companies.

Reference: Securities Act of 1933

NEW QUESTION # 244

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