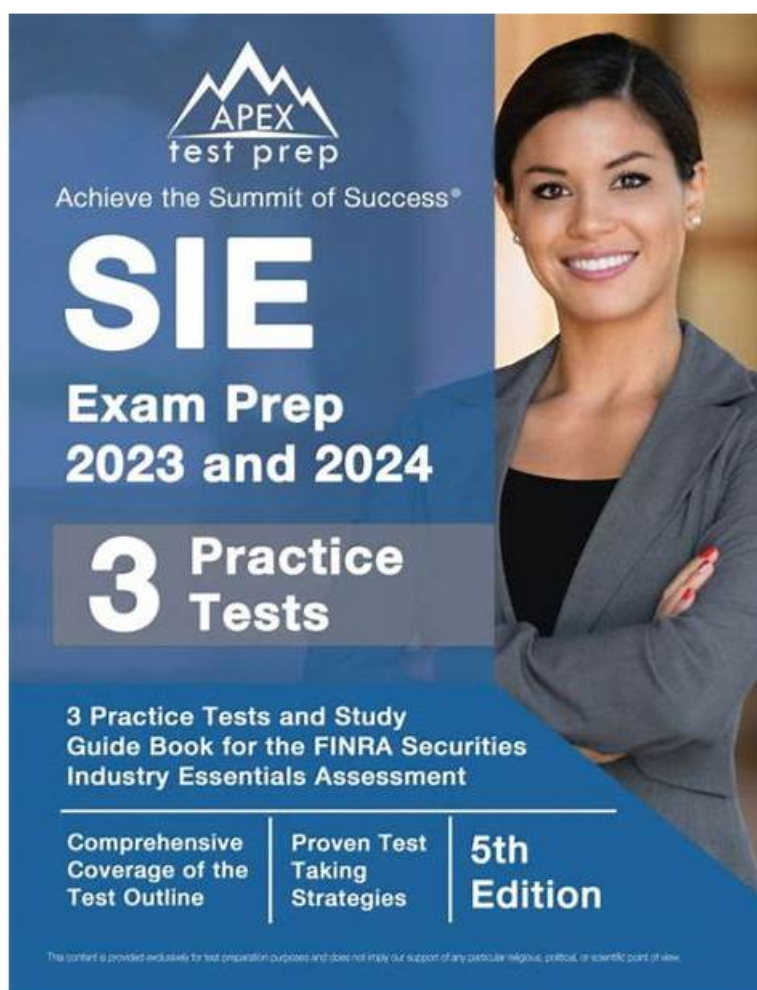


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 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-til-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.

Topic 3	<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.
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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q28-Q33):

NEW QUESTION # 28

A bond with a par value of \$1,000 that is backed by the taxing power of a local government is known as:

- A. A general obligation (GO) bond
- B. A Treasury bond
- C. A revenue bond
- D. A corporate bond

Answer: A

Explanation:

Step by Step Explanation:

* General Obligation (GO) Bonds: Backed by the full faith and credit of the issuing municipality, relying on its taxing power for repayment.

* Revenue Bonds: Supported by revenues from a specific project or source.

* Treasury Bonds: Issued by the federal government.

* Corporate Bonds: Issued by corporations, not municipalities.

:

SEC Municipal Bond Guide: SEC GO Bonds.

NEW QUESTION # 29

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. Credit risk
- B. Taxability risk
- C. Purchasing power risk
- D. Political risk

Answer: A

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.

NEW QUESTION # 30

SEC regulations permit a company to issue securities exempted from registration requirements of the Securities Act of 1933 under which of the following conditions?

- A. Offerings sold inside of the U.S. to non-U.S. persons
- B. Offerings sold with no more than 40 accredited investors
- C. Offerings sold with an aggregate price exceeding \$5 million
- D. Offerings with no more than 35 non-accredited investors and an unlimited number of accredited investors

Answer: D

Explanation:

Step by Step Explanation:

* Regulation D (Rule 506(b)): Allows offerings to an unlimited number of accredited investors and up to 35 non-accredited investors, provided certain disclosure requirements are met.

* Incorrect Options:

* A: Refers to Regulation S, which governs offshore offerings, not domestic exemptions.

* B: There is no 40-investor limit in Regulation D.

* C: The \$5 million limit applies to Rule 504, not Rule 506(b).

:

SEC Regulation D: SEC Regulation D.

NEW QUESTION # 31

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

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

Answer: A

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.

Reference: FINRA Rule 1240 (Continuing Education Requirements)

NEW QUESTION # 32

Which of the following responses describes treasury stock?

- A. Stock subsequently reacquired by the issuer
- B. U.S. government securities held by a corporation
- C. Authorized but unissued stock
- D. Restricted stock owned by officers

Answer: A

Explanation:

Treasury stock refers to shares that were issued by a company and subsequently repurchased by the company.

These shares are held in the company's treasury and are not considered outstanding.

* C is correct because treasury stock is stock reacquired by the issuer.

- * A is incorrect because authorized but unissued stock has never been issued.
- * B is incorrect because restricted stock refers to shares issued with restrictions on transferability, not reacquired stock.
- * D is incorrect because it incorrectly refers to government securities, not corporate stock.

NEW QUESTION # 33

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