

SIE日本語認定 & SIE出題内容



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IT業界で働いているあなたにとってのFINRAのSIE試験の重要性を知っていますから、我々はあなたを助けられるFINRAのSIEソフトを開発しました。我々はあなたにすべての資料を探して科学的に分析しました。これらをするのはあなたのFINRAのSIE試験を準備する圧力を減少するためです。

FINRA SIE 認定試験の出題範囲:

トピック	出題範囲
トピック 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.
トピック 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.
トピック 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.
トピック 4	<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.
トピック 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.

SIE出題内容 & SIE復習対策書

現代生活の速いペースの途方もないストレスの下で、SIE証明書を学ぶことに固執することは、競争力のある人間として自分を証明するために必要になります。SIE練習問題は、最も有用な試験サポート資料として一般的に知られており、グローバルなインターネットストアフロントから入手できます。長年の努力の末、当社のSIE試験の資料とサービスは、膨大な数のお客様から評価と称賛を受けました。ますます多くの受験者が試験計画ユーティリティとしてSIE学習教材を選択します。

FINRA Securities Industry Essentials Exam (SIE) 認定 SIE 試験問題 (Q14-Q19):

質問 # 14

A customer receives a confirmation that discloses the firm has acted in a principal capacity. Which of the following statements is the best explanation for this disclosure?

- A. The firm is acting as an intermediary between the customer and an unrelated firm.
- B. The firm matched the customer's purchase with a sell order listed on an electronic communication network (ECN).
- **C. The firm is selling to the customer from its inventory.**
- D. The firm is acting as an intermediary between the customer and another customer.

正解: C

解説:

When a firm acts in a principal capacity, it trades securities for its own account, buying or selling directly to or from its inventory. The firm's role differs from an agency capacity, where it acts as an intermediary.

* A is correct because principal capacity involves selling directly from the firm's inventory.

* B, C, and D are incorrect because these scenarios describe agency transactions, where the firm facilitates trades between two parties.

質問 # 15

A registered representative (RR) at a member firm is the subject of a statutory disqualification. Which of the following statements is true?

- A. The RR is prohibited from employment by a member firm in any registered capacity but is permitted to be employed in an unregistered capacity.
- B. A statutory disqualification, although reportable to CRD, does not affect employment in the securities industry.
- C. The RR is prohibited from soliciting business but is permitted to accept unsolicited orders.
- **D. The RR is prohibited from any association or employment with a member firm unless he obtains a waiver.**

正解: D

解説:

A statutory disqualification occurs if an RR has been convicted of certain crimes, violated securities laws, or been barred by a regulatory authority. Under FINRA rules, the RR cannot associate with a member firm in any capacity unless they obtain a waiver from FINRA.

* B is correct because the disqualified person must obtain a waiver to continue employment.

* A and C are incorrect because the RR is not allowed to associate with the firm in any capacity without a waiver.

* D is incorrect because statutory disqualification directly affects the RR's employment status.

質問 # 16

A city has appointed Broker-dealer XYZ to act as lead underwriter for its upcoming issuance of municipal bonds. This is an example of which of the following types of offering?

- A. A follow-on offering
- **B. A negotiated offering**
- C. A competitive offering
- D. A best-efforts offering

正解: B

解説:

Step by Step Explanation:

* Negotiated Offering: Occurs when the issuer directly selects an underwriter and negotiates terms.
Common in municipal bond issuances.

* Incorrect Options:

* A: Follow-on offerings apply to subsequent issuances of equity securities.

* C: Competitive offerings involve multiple underwriters submitting bids.

* D: Best-efforts offerings do not guarantee the sale of all securities.

References:

* MSRB Overview of Municipal Offerings: MSRB Offerings.

質問 # 17

When is a newly registered person subject to the Continuing Education Regulatory Element requirement?

- A. On the anniversary date of initial registration
- B. The calendar year following initial registration
- C. Every five years
- D. Every three years after the date of registration

正解: A

解説:

Step by Step Explanation:

* Regulatory Element Requirement: Newly registered persons must complete the Continuing Education (CE) Regulatory Element on the second anniversary of their initial registration and every three years thereafter.

* Incorrect Options:

* A: The requirement begins on the second anniversary, not the following calendar year.

* D: The cycle is every three years, not five.

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FINRA Rule 1240 (Continuing Education): FINRA Rule 1240.

質問 # 18

Trades that settle within the period preset by regulators of the particular market are considered to have which of the following types of settlement?

- A. Rolling
- B. Regular way
- C. Next day
- D. Cash

正解: B

解説:

"Regular way" settlement refers to the standard settlement cycle for securities transactions, which is T+2 for most stocks and bonds. This timeline is set by regulators to ensure orderly processing of trades.

* D is correct because regular way settlement follows the preset T+2 cycle.

* A is incorrect because cash settlement occurs the same day as the trade.

* B is not a recognized term for settlement types.

* C is incorrect because next-day settlement applies only to specific securities (e.g., Treasury securities).

質問 # 19

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SIE出題内容: <https://www.it-passports.com/SIE.html>

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