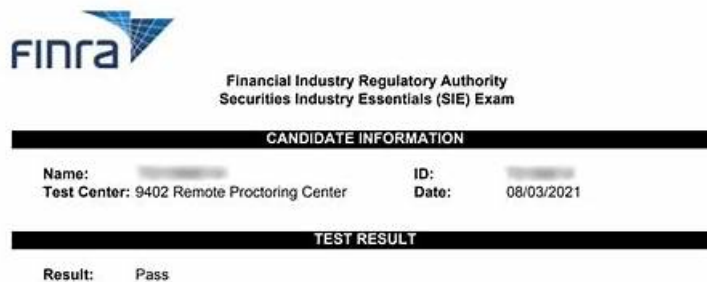


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FINRA SIE Exam Syllabus Topics:

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 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"> 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 4	<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 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 (Q280-Q285):

NEW QUESTION # 280

A customer has a stock position that has increased in value since the time he purchased it. Which of the following terms describes his current situation?

- A. Out of the money
- **B. Unrealized gain**
- C. Interest income
- D. Operating profit

Answer: B

Explanation:

An unrealized gain occurs when the value of an asset increases but has not yet been sold. If the customer sells the stock, the unrealized gain becomes a realized gain.

* B is correct because the increase in value without selling the stock is an unrealized gain.

* A is incorrect because interest income refers to earnings from fixed-income securities.

* C is incorrect because operating profit relates to a company's earnings, not an investor's portfolio.

* D is incorrect because "out of the money" is a term used for options, not stocks.

Reference: SIE Study Guide, Chapter 6: Stock Valuations

NEW QUESTION # 281

Company XYZ files a registration statement for its initial public offering (IPO). XYZ is permitted to communicate all of the following information about the offering in writing to investors except that:

- A. The IPO is being underwritten by Bank ABC and Bank DEF.
- B. The IPO is expected to price in early February.
- **C. A recent industry report supports the company's valuation.**
- D. The road show will be held February 6-10 in New York and Boston.

Answer: C

Explanation:

During the "quiet period" after filing the registration statement, issuers are restricted in what they can communicate to the public to avoid influencing the market.

* C is correct because promotional statements, such as those supporting the company's valuation, are prohibited during this time.

* A, B, and D are factual, non-promotional statements and are permitted.

NEW QUESTION # 282

Which of the following securities issued by a corporation allows the owner to vote on matters of the corporation?

- A. Warrant
- B. Preferred stock
- C. Corporate bond
- **D. Common stock**

Answer: D

Explanation:

Common stock typically provides the owner with voting rights on key corporate matters, making answer B correct. Common shareholders generally vote to elect the board of directors and may vote on significant corporate actions such as mergers, major reorganizations, or other proposals submitted for shareholder approval. Voting rights are a core distinguishing feature of common stock and are frequently tested on the SIE as part of understanding equity ownership and shareholder rights.

A warrant (choice A) is a derivative-like security that gives the holder the right to purchase the issuer's stock at a specified price before expiration. Warrant holders do not have voting rights unless and until they exercise the warrant and become stockholders. Preferred stock (choice C) typically has characteristics closer to a hybrid: it pays a stated dividend and often has priority over common stock in dividends and liquidation, but it usually does not carry voting rights (though preferred may gain voting rights in special situations, such as when dividends are in arrears, depending on the issue terms). A corporate bond (choice D) is debt; bondholders are creditors, not owners, and generally do not vote on corporate governance matters (though bond covenants may provide protections and certain consent rights in specific restructuring situations).

The SIE emphasizes the relationship between security type and investor rights: equity ownership (common stock) comes with participation in corporate governance through voting, while debt instruments provide contractual cash flows and creditor protections but not ownership voting rights.

NEW QUESTION # 283

A confirmation indicates a 100-share purchase of Company ABC at \$11. According to SEC rules, which of the following information is required to be stated on the confirmation?

- **A. The capacity in which the firm acted when executing the trade**
- B. The firm's inventory level at the time of trade execution
- C. That the firm did not act as a market maker in the security
- D. The firm's cost basis in the security

Answer: A

Explanation:

Step by Step Explanation:

* SEC Rule 10b-10: Requires trade confirmations to disclose the capacity in which the firm acted (e.g., as agent or principal) and details like trade price, quantity, and commissions.

* Incorrect Options:

* A: Cost basis is not disclosed on trade confirmations.

* B: Inventory levels are not part of the required disclosures.

* C: Market maker status is not explicitly required in the confirmation.

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SEC Rule 10b-10 (Confirmation Requirements): SEC Rule 10b-10.

NEW QUESTION # 284

Which of the following statements is a characteristic of a government bond fund?

- A. Dividend/interest payments will be the same each month.
- **B. The value of the fund is not guaranteed by the government or any federal agency.**
- C. If interest rates fall, the net asset value (NAV) of the fund will likely drop as well.
- D. Government bond funds are diversified.

Answer: B

Explanation:

Step by Step Explanation:

* Government Bond Funds: Invest in government-backed securities, but the value of the fund itself is not guaranteed by the government, as these funds are subject to market risks.

* Incorrect Options:

* A: Diversification depends on the fund's investment strategy.

* B: Interest/dividend payments may fluctuate.

* C: If interest rates fall, NAVs typically rise, not drop.

References:

* SEC Guidance on Mutual Funds: SEC Government Bond Funds.

NEW QUESTION # 285

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