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D. List accountUpdates = new List();

for ( Account a : [SELECT Id, Type FROM Account]) {

if ( String.isNotBlank(a.Type) && a.Type == 'Customer' ) {

a.Status = 'Active';

}

if ( String.isNotBlank(a.Type) && a.Type == 'Prospect' ) {

a.Status = 'Pending';

}

accountUpdates.add{a};

}

update accountUpdates;

```

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 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"> 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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q150-Q155):

NEW QUESTION # 150

Which of the following statements describes the composition of FINRA arbitration panels for customer disputes?

- A. All arbitrators are employed in the securities industry.
- **B. Panels are permitted to be a combination of industry and public arbitrators.**
- C. Arbitrators are randomly chosen from a pool established jointly by the claimant and the respondent.
- D. All arbitrators are practicing attorneys.

Answer: B

Explanation:

The correct answer is C, Panels are permitted to be a combination of industry and public arbitrators. FINRA arbitration panels are designed to ensure fairness and neutrality in resolving disputes between customers and broker-dealers.

Step-by-step, FINRA classifies arbitrators into two main categories:

* Public arbitrators, who have no significant ties to the securities industry

* Industry arbitrators, who have experience working within the securities industry For customer disputes, panels may include a mix of these arbitrators. In many cases, especially for larger claims, panels consist of two public arbitrators and one industry arbitrator, though customers may request an all-public panel.

Choice A is incorrect because arbitrators are not required to be attorneys. Choice B is incorrect because not all arbitrators come from the securities industry-public arbitrators are specifically included to provide impartiality. Choice D is incorrect because arbitrators are selected from a FINRA-provided roster, and while parties can rank and strike candidates, they do not jointly create the pool.

Thus, FINRA arbitration panels are intentionally structured as a combination of public and industry arbitrators, ensuring balanced perspectives, making Answer C correct.

NEW QUESTION # 151

Which of the following activities engaged in by a registered person is considered a private securities transaction?

- A. Working for an insurance company selling term life insurance policies
- B. Investing personal money in shares of a listed security in a brokerage account
- C. Soliciting donations to a charity
- **D. Helping a friend raise money for a startup company they founded**

Answer: D

Explanation:

A private securities transaction involves the sale of securities outside the scope of a registered representative's employment with their member firm. Such transactions must be disclosed to and approved by the firm under FINRA Rule 3280.

* B is correct because raising money for a startup involves the sale of securities and must be reported as a private securities transaction.

* A is incorrect because soliciting charitable donations does not involve securities.

* C is incorrect because selling term life insurance policies is not a securities transaction.

* D is incorrect because investing personal money does not involve soliciting or selling securities to others.

NEW QUESTION # 152

Which of the following events will cause FINRA to deny an individual's application for registration?

- A. Being terminated for performance by a previous employer
- B. Defaulting on a mortgage
- C. Receiving frequent oral complaints from previous customers
- D. Being convicted of bribery within the last 10 years

Answer: D

Explanation:

A conviction for bribery within the last 10 years is a statutory disqualification event and can cause FINRA to deny an individual's application for registration. Statutory disqualification applies to serious criminal, regulatory, and disciplinary events that raise concerns about an applicant's fitness to associate with a member firm. Bribery is a serious dishonesty-related offense and falls squarely within the types of criminal misconduct that can disqualify a person from registration. Choice B is correct. Defaulting on a mortgage may be financially significant and may require disclosure depending on the circumstances, but it is not automatically a statutory disqualification. Being terminated for performance does not itself disqualify an applicant unless it involves reportable misconduct or regulatory concerns. Frequent oral complaints may be a supervisory red flag, but oral complaints alone do not create automatic denial of registration. The SIE outline includes SRO qualification and registration requirements, statutory disqualification, background checks, Form U4, felony and financial-related misdemeanor reporting, and employee conduct. The key tested concept is that certain criminal convictions, including bribery, create regulatory ineligibility. Reference: Section 4.1.1 Registration and Continuing Education; Section 4.2.2 Reportable Events; statutory disqualification.

NEW QUESTION # 153

Which of the following strategies is an investor most likely to employ using options contracts?

- A. Buying put options to set a definitive floor for potential losses
- B. Buying put options when the market shows upward momentum
- C. Selling call options to set a definitive ceiling for potential losses
- D. Buying call options when the market shows downward momentum

Answer: A

Explanation:

Buying a put option gives the investor the right to sell a stock at a specific strike price, effectively setting a floor for potential losses if the stock price declines. This is a common risk-management strategy.

- * A is correct because buying puts limits downside risk while retaining the potential for upside gains.
- * B is incorrect as buying puts is a bearish strategy, not one used during upward momentum.
- * C is incorrect because selling call options does not hedge losses; it is a speculative or income-generating strategy.
- * D is incorrect because buying calls is a bullish strategy, used during upward momentum, not downward.

NEW QUESTION # 154

Which of the following security types may contain convertible features allowing the holders to exchange the securities for other issues of the company?

- A. Common stock
- B. Preferred stock
- C. An exchange-traded fund (ETF)
- D. Commercial paper

Answer: B

Explanation:

Preferred stock may include convertible features that allow holders to exchange the preferred shares for another security of the issuing company—most commonly common stock—at a specified conversion ratio.

That is why choice B is correct. Convertible preferred combines characteristics of equity income (a stated dividend) with the potential upside participation of common stock through the conversion privilege. The conversion feature is set by the issuer and described in the security's terms at issuance.

Choice A is not the best answer because "common stock" itself is not typically described as "convertible" into other company issues; conversion features are commonly attached to preferred stock or bonds (convertible debentures), not standard common shares.

Choice C, commercial paper, is a short-term unsecured corporate money market instrument; it is not typically issued with conversion features—its hallmark is short maturity and credit quality, not embedded equity options. Choice D, an ETF, is an investment company

product whose shares represent an interest in a portfolio; ETFs are not typically "convertible" into other issues of the company in the way convertible preferred is.






















This is a product-knowledge question aimed at understanding embedded features and how issuers structure securities. For SIE purposes, remember: convertibility is most commonly associated with preferred stock and certain corporate bonds, and it provides investors with an option-like feature that can change the security's risk /return profile (income plus potential appreciation).

NEW QUESTION # 155

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