

# SIE最新題庫資源 - SIE熱門證照

排名	104學習精靈 證照關注數	104學習精靈 網頁瀏覽量
1	TOEIC (多益測驗)	公共工程品質管理人員
2	Google Analytics (分析) 個人認證資格	乙級職業安全衛生管理員
3	After Effects	TOEIC (多益測驗)
4	TQC-OA -Word	乙級就業服務技術士
5	堆高機操作技術士	總幹事證照
6	乙級職業安全衛生管理員	照顧服務員單一(丙)級技術士
7	乙級就業服務技術士	丙級會計事務技術士
8	國際專案管理師PMP	乙級建築物室內裝修工程管理技術士
9	甲種職業安全衛生業務主管	工地主任
10	總幹事證照	Google Analytics (分析) 個人認證資格

順便提一下，可以從雲存儲中下載Fast2test SIE考試題庫的完整版：[https://drive.google.com/open?id=1akF8HFpZ-gxqjGUGCkpjPr3\\_9N-90Oc](https://drive.google.com/open?id=1akF8HFpZ-gxqjGUGCkpjPr3_9N-90Oc)

由于IT行業的競爭力近年來有所增加，如果您需要提升自己的職業發展道路，FINRA SIE認證就成為基本的選擇條件之一。而通過SIE考試被視為獲得此認證最關鍵的方法，該認證不斷可以增加您的就業機會，還為您提供了無數新的可能。所有考生都知道我們的FINRA SIE考古題產品可以幫助您快速掌握考試知識點，無需參加其它的培訓課程，就可以保證您高分通過SIE考試。

FINRA SIE考古題是最新有效的學習資料，由專家認證，涵蓋真實考試內容。擁有高品質的考題資料，能幫助考生通過第一次嘗試的SIE考試。我們的SIE在線測試引擎版本不光可以模擬真實的考試環境，還支持設備離線使用，方便考生隨時隨地的學習理解。選擇最新版本的FINRA SIE考古題，如果你考試失敗了，我們將全額退款給你，因為我們有足夠的信心讓你通過SIE考試。

>> SIE最新題庫資源 <<

## SIE熱門證照，SIE證照信息

FINRA的SIE考試是IT行業之中既流行也非常重要的一個考試，我們準備了最優質的學習指南和最佳的線上服務，特為IT專業人士提供捷徑，Fast2test FINRA的SIE考題涵蓋了所有你需要知道的考試內容和答案，如果你通過我們Fast2test的考題模擬，你就知道這才是你千方百計想得到的東西，並且認為這樣才真的是為考試做準備的

### FINRA SIE 考試大綱：

主題	簡介
主題 1	<ul style="list-style-type: none"><li>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.</li></ul>
主題 2	<ul style="list-style-type: none"><li>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.</li></ul>
主題 3	<ul style="list-style-type: none"><li>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.</li></ul>

## 最新的 General Securities Representative SIE 免費考試真題 (Q201-Q206):

### 問題 #201

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

答案: C

解題說明:

"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).

### 問題 #202

A customer and his two brothers want to invest \$30,000 to start an equity portfolio. Two of the brothers will invest \$7,500 each, and the other brother will invest \$15,000 to start the account. In the event of death, each of them agrees that the assets should be passed on to their heirs proportionately. Which of the following types of accounts should the registered representative recommend to the customers?

- A. Joint tenants in common
- B. Transfer-on-death (TOD)
- C. Joint tenants with right of survivorship (JTWROS)
- D. Tenants by the entirety

答案: A

### 問題 #203

Which of the following rates is the interest rate at which banks borrow and lend to each other on an overnight basis?

- A. Federal funds rate
- B. LIBOR
- C. Discount rate
- D. Prime rate

答案: A

解題說明:

Step by Step Explanation:

\* Federal Funds Rate: The rate at which depository institutions lend reserves to each other overnight. It is set by the Federal Open Market Committee (FOMC).

\* Other Rates:

\* Prime Rate: Rate banks charge their most creditworthy customers.

\* Discount Rate: Rate the Federal Reserve charges banks for borrowing directly from it.

\* LIBOR: Interbank lending rate used internationally, now being phased out.

References:

\* Federal Reserve Explanation of Rates: Federal Funds Rate.

### 問題 #204

Under SEC Regulation A, which of the following market participants, if deemed to be a bad actor, will disqualify the offering from

reliance on this registration exemption?

- **A. Underwriter**
- B. Clearing corporation
- C. Custodian
- D. Transfer agent

答案： A

解題說明：

SEC Regulation A provides a registration exemption for smaller public offerings but includes a "bad actor" disqualification. If certain key parties, such as the issuer, underwriter, or affiliates, have been involved in securities violations, the exemption is forfeited.

\* B is correct because underwriters are considered essential participants, and their status as bad actors disqualifies the offering.

\* A, C, and D are incorrect because custodians, transfer agents, and clearing corporations are not included in the "bad actor" provisions of Regulation A.

### 問題 #205

An associated person at a member firm receives a complaint from a customer involving allegations of forgery. Once the complaint is received, which of the following actions is required?

- **A. The member firm must report the event promptly to FINRA.**
- B. The member firm must complete arbitration to resolve the complaint with the customer before filing a report with FINRA.
- C. The member firm is not required to report the event to FINRA but must maintain a file of the complaint for four years.
- D. The member firm must have a principal review the complaint and determine if the forgery occurred before filing a report with FINRA.

答案： A

解題說明：

Step by Step Explanation:

\* FINRA Rule 4530: Requires member firms to report certain events, including allegations of forgery, to FINRA promptly.

\* Incorrect Options:

\* Option B: Maintaining a record does not substitute for required reporting.

\* Option C: Arbitration isn't required before reporting.

\* Option D: Reporting is mandatory irrespective of internal investigations.

FINRA Rule 4530 (Reporting Requirements): FINRA Rule 4530.

### 問題 #206

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人生舞臺的大幕隨時都可能拉開，關鍵是你願意表演，還是選擇躲避，能把在面前行走的機會抓住的人，十有八九都是成功的。所以你必須抓住Fast2test這個機會，讓你隨時可以展現你的技能，Fast2test FINRA的SIE考試培訓資料就是你通過認證的最有效的方法，有了這個認證，你將在你人生的藍圖上隨意揮灑，實現你的夢想，走向成功。要做就做一個勇往直前的人，那樣的人生才有意義。

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