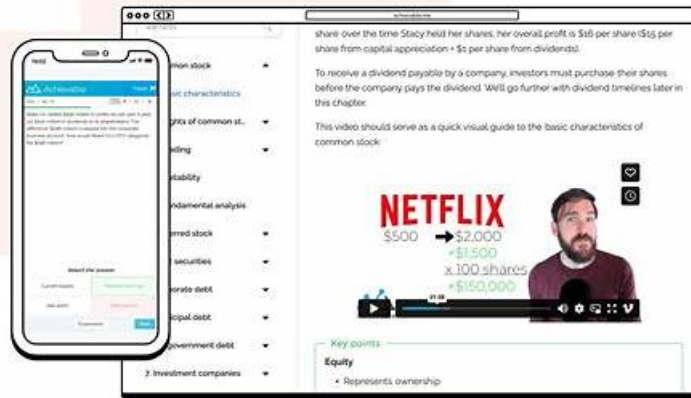


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FINRA SIE Exam Syllabus Topics:

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"> 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"> 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.
Topic 4	<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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q360-Q365):

NEW QUESTION # 360

On settlement date, a customer is unable to pay for a purchase in his cash account. His position is liquidated. Which of the following statements is true according to Federal Reserve Regulation T?

- A. All related accounts are restricted for 90 days.
- B. Only closing transactions are permitted.
- C. The customer's account is restricted for 90 days.
- D. The customer is barred from trading for 30 days.

Answer: C

Explanation:

In a cash account, a customer must pay for securities by the required payment date. If the customer fails to pay and the broker-dealer liquidates the position, the customer's cash account is restricted for 90 days under Regulation T. During the restricted period, the customer may still purchase securities, but only if sufficient settled cash is in the account before the trade is accepted. Choice C is correct. Choice A is incorrect because the customer is not limited only to closing transactions; rather, purchases must be fully paid in advance during the restriction period. Choice B is incorrect because the restriction period is 90 days, not 30 days. Choice D is too broad because the question asks about the customer's account, not automatically all related accounts. The SIE outline includes account types, margin and cash account concepts, trade settlement, and Federal Reserve Board Regulation T. This question tests cash account payment failure and the consequence of freeriding or failure to pay in a timely manner. Reference: Understanding Trading, Customer Accounts and Prohibited Activities; Customer Account Types; Trade Settlement; Federal Reserve Board Regulation T.

NEW QUESTION # 361

An investor owns 200 shares of ABC common stock and sells four ABC calls. How many of those calls, if any, are covered by the ABC common stock position?

- A. 1 call
- B. None of the calls
- C. 4 calls
- D. 2 calls

Answer: D

Explanation:

A call option is considered covered when the seller (writer) owns the underlying security in sufficient quantity to meet the delivery obligation if the option is exercised. In listed equity options, one options contract typically represents 100 shares of the underlying stock. Here, the investor owns 200 shares of ABC stock.

That means the investor can cover two call contracts (2×100 shares = 200 shares). Since the investor sold four calls, only two of them are covered; the remaining two calls are uncovered (naked). Therefore, the correct answer is C.

This question tests a fundamental options concept that is heavily emphasized on the SIE: understanding contract size, delivery obligations, and the risk difference between covered and uncovered strategies. If the covered calls are assigned, the investor can deliver the shares they already own, limiting the risk profile on those contracts. For the uncovered calls, if assigned, the investor would need to purchase shares in the market to deliver (or otherwise acquire them), which exposes the investor to potentially unlimited loss if the stock rises substantially above the strike price.

The mechanics are straightforward:

* Shares owned: 200

* Shares required per call contract: 100

* Covered contracts = $200 \div 100 = 2$

This is also a subtle suitability/risk topic: selling uncovered calls is generally far riskier than selling covered calls, and firms often require higher options approval levels for uncovered writing. Understanding what makes an option "covered" is essential for evaluating both strategy intent and risk exposure.

NEW QUESTION # 362

Which of the following entities is primarily responsible for providing Internal settlement, accounting and tax support services for securities owned by an investment company?

- A. Market maker
- **B. Custodian**
- C. Fund manager
- D. Broker-dealer

Answer: B

NEW QUESTION # 363

Which of the following portfolios is diversified across asset classes?

- A. A portfolio that invests in regional banks located in the Midwest
- B. A portfolio of real estate investment trusts that contains residential and commercial properties
- C. A portfolio of municipal bonds that is laddered to include various maturity dates
- **D. A portfolio that includes a mix of equity and fixed income investments**

Answer: D

Explanation:

Diversification across asset classes means allocating capital among different broad categories of investments, such as equities, fixed income, cash equivalents, real estate, or alternatives. A portfolio containing both equity and fixed income securities is diversified across asset classes because common stocks and bonds have different risk-return profiles, income characteristics, volatility patterns, and sensitivity to economic conditions. Choice A is not diversified across asset classes because regional bank stocks are concentrated in one industry and one geographic region. Choice C is diversified by maturity within one asset class- municipal bonds- but it remains a fixed income portfolio. Choice D has exposure to different types of real estate properties, but REITs remain primarily a real estate equity sector exposure, not broad asset-class diversification. The SIE outline includes "Strategies for Mitigation of Risk," specifically "Diversification," and also identifies core product categories such as equity securities, debt instruments, REITs, and packaged products. The exam distinction is whether diversification is across sectors, maturities, issuers, or true asset classes. Only choice B clearly crosses asset classes. Reference: Section 2.1 Products; Section 2.2 Investment Risks, strategies for mitigation of risk.

NEW QUESTION # 364

Which of the following corporate actions is voluntary for the investor?

- A. A pre-refunding
- B. A full merger
- **C. A tender offer**
- D. A stock split

Answer: C

Explanation:

The correct answer is C, A tender offer. A tender offer is considered a voluntary corporate action because it gives shareholders the choice to participate or not. In a tender offer, a company or third party offers to purchase shares from existing shareholders at a specified price, usually at a premium to market value.

Investors can decide whether to tender (sell) their shares.

Step-by-step, voluntary corporate actions require active participation or decision-making by the investor. If the investor does nothing, no action is taken on their behalf.

Choice A, a stock split, is a mandatory corporate action-all shareholders are automatically affected, and no decision is required.

Choice B, a full merger, is also mandatory once approved, as shareholders are typically required to exchange their shares for new securities or cash. Choice D, pre-refunding, is related to municipal bonds and is not a voluntary action for investors; it involves the issuer setting aside funds to retire debt early.

Thus, the only option where the investor has control and discretion to participate is a tender offer, making Answer C correct.

NEW QUESTION # 365

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