


FINRA SIE題庫更新 & 最新SIE考題



Financial Industry Regulatory Authority
Securities Industry Essentials (SIE) Exam

CANDIDATE INFORMATION

Name: [REDACTED] ID: [REDACTED]
Test Center: 9402 Remote Proctoring Center Date: 08/03/2021

TEST RESULT

Result: Pass

BONUS!!! 免費下載Testpdf SIE考試題庫的完整版: https://drive.google.com/open?id=1oC6GC9T_giJ0-JDEn9td2bLqTA34W5g6

為了配合當前真正的考驗，從Testpdf FINRA的SIE考試認證考試考古題的技術團隊的任何變化及時更新的問題和答案，我們也總是接受用戶回饋的問題，充分的利用了一些建議，從而達到完美的Testpdf FINRA的SIE考試認證測試資料，使我們Testpdf始終擁有最高的品質。

FINRA SIE 考試大綱：

主題	簡介
主題 1	<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-cancel orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
主題 2	<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.
主題 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.
主題 4	<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.
主題 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.

最新版的SIE題庫更新，提前為Securities Industry Essentials Exam (SIE) SIE考試做好準備

不要再因為準備一個考試浪費太多的時間了。快點購買Testpd的SIE考古題吧。有了這個考古題，你將更好地知道該怎麼準備考試才更有效率。這是一個可以讓你輕鬆就通過考試的難得的工具，錯過這個機會你將會後悔。所以，不要猶豫趕緊行動吧。

最新的 General Securities Representative SIE 免費考試真題 (Q91-Q96):

問題 #91

Class A and Class C shares of a mutual fund differ in which of the following ways?

- A. The underlying investments
- B. The net asset value (NAV)
- **C. The expense ratio**
- D. When the customer is permitted to purchase

答案： C

解題說明：

Step by Step Explanation:

* Expense Ratio: Class A shares typically have lower ongoing expense ratios but higher front-end sales charges. Class C shares often have higher ongoing expense ratios but no front-end charges.

* Incorrect Options:

* B: NAV is determined daily and does not vary by share class.

* C: All share classes invest in the same underlying portfolio.

* D: Purchase timing is the same for all share classes.

References:

* SEC Guidance on Mutual Fund Share Classes: SEC Fund Classes.

問題 #92

A grandfather establishes a Uniform Transfers to Minors Act (UTMA) custodial account for his grandson and appoints an attorney as custodian. Which of the following individuals owns the account?

- **A. Grandson**
- B. Grandfather
- C. Attorney
- D. Grandson's parent

答案： A

解題說明：

In a UTMA account, the minor is the legal owner of the account. The custodian (in this case, the attorney) manages the account until the minor reaches the age of majority specified by state law.

* C is correct because the grandson (the minor) is the account's legal owner.

* A is incorrect because the attorney is the custodian, not the owner.

* B is incorrect because the grandfather established the account but does not own it.

* D is incorrect because the parent does not have ownership unless explicitly named as the custodian.

Reference: SIE Study Guide, Chapter 9: Custodial Accounts

問題 #93

SIPC provides investor protection for its members' customers in which of the following situations?

- A. Losses greater than 10% due to systemic market decline
- **B. Failure of a brokerage firm in the event of insolvency**
- C. Losses incurred on futures contracts due to fraud or negligence
- D. Failure of a brokerage firm to meet customers' investment expectations

答案： B

解題說明：

The Securities Investor Protection Corporation (SIPC) protects customers if a broker-dealer fails due to insolvency. Coverage applies to cash and securities in customer accounts, up to \$500,000 total, including \$250,000 for cash.

- * A is correct because SIPC's purpose is to protect against losses arising from a broker-dealer's insolvency.
- * B is incorrect because SIPC does not guarantee investment performance.
- * C is incorrect because SIPC does not cover market losses.
- * D is incorrect because futures contracts are not covered under SIPC.

問題 #94

After a customer purchases bonds at a yield of 5.00%, the current yield at market price increases to 5.25%. Which of the following statements is true regarding the value of the bonds?

- A. The value of the bonds has increased.
- B. There is no change in the value of the bonds.
- C. The value of the bonds has decreased.
- D. The face value of the bonds has decreased.

答案： C

解題說明：

When bond yields rise, the price of existing bonds falls. This inverse relationship exists because the fixed coupon payments of the bonds become less attractive compared to new bonds issued at higher yields.

- * B is correct because the bond's market value decreases as its yield increases.
- * A is incorrect because bond values decrease, not increase, with rising yields.
- * C is incorrect because the face value (par value) remains unchanged.
- * D is incorrect because changes in yield directly affect the bond's market price.

Reference: SIE Study Guide, Chapter 3: Bond Pricing and Yields

問題 #95

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

答案： C

解題說明：

Federal Reserve Regulation T mandates that customers must pay for purchases in a cash account within two business days of settlement (T+2). If payment is not made, the brokerage firm must liquidate the securities and place the account on a 90-day restriction.

- * C is correct because the customer's account is frozen for 90 days, during which all trades must be paid for in advance.
- * A is incorrect as closing transactions are still permitted but require prepayment.
- * B is incorrect because the restriction lasts for 90 days, not 30.
- * D is incorrect as only the delinquent account, not related accounts, is frozen.

Reference: Federal Reserve Regulation T

問題 #96

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最新SIE考題: <https://www.testpdf.net/SIE.html>

- 實用的SIE題庫更新 |第一次嘗試輕鬆學習並通過考試和高效率的FINRA Securities Industry Essentials Exam(SIE) □
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