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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 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.

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100% Pass Quiz SIE - Securities Industry Essentials Exam (SIE) Perfect New Exam Topics

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q72-Q77):

NEW QUESTION # 72

Which of the following types of debt securities has the highest liquidity?

- A. Mortgage bonds
- B. Municipal bonds
- **C. Treasury bonds**
- D. Corporate bonds

Answer: C

NEW QUESTION # 73

In a rising interest rate environment, which of the following statements is true regarding the price of fixed-rate corporate bonds?

- A. Their price will remain constant.
- **B. Their price will depreciate in value.**
- C. Their price will appreciate in value.
- D. Their price will revert to par value.

Answer: B

Explanation:

When interest rates rise, the price of fixed-rate corporate bonds falls because the bond's coupon payments become less attractive compared to new bonds issued at higher rates.

* D is correct as bond prices move inversely to interest rates.

* A is incorrect because bond prices fluctuate with interest rate changes.

* B is incorrect because bond prices revert to par only at maturity.

* C is incorrect because prices do not appreciate when rates rise.

NEW QUESTION # 74

A registered representative wants to open an account for himself at a different financial institution. Under FINRA rules, which of the following accounts requires prior written consent from his employing broker-dealer?

- **A. An investment advisory account in which securities transactions are effected**
- B. A 529 savings plan account established for his grandchild
- C. Mutual fund accounts held directly with the fund company
- D. Variable contracts registered under the Investment Company Act

Answer: A

Explanation:

Step by Step Explanation:

* FINRA Rule 3210: Requires registered representatives to obtain written consent from their employing broker-dealer before opening accounts at other financial institutions if securities transactions will occur.

* Incorrect Options:

* A, B, and C: These accounts are exempt because they do not involve direct securities transactions requiring monitoring.

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FINRA Rule 3210 (Accounts at Other Institutions): FINRA Rule 3210.

NEW QUESTION # 75

Which of the following entities issues certificates of deposit (CDs)?

- A. Broker-dealers
- B. Banks
- C. Federal Reserve
- D. FDIC

Answer: B

Explanation:

Certificates of Deposit (CDs) are time deposit accounts issued by banks, offering fixed interest rates for a specified term. CDs are insured by the FDIC up to \$250,000 per depositor, but the issuing entity is the bank itself.

* B is correct because banks issue CDs.

* A is incorrect because the FDIC insures CDs but does not issue them.

* C is incorrect because broker-dealers may facilitate the purchase of CDs but do not issue them.

* D is incorrect because the Federal Reserve does not issue CDs; it manages monetary policy.

Reference: SIE Study Guide, Chapter 4: Banking Products

NEW QUESTION # 76

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

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

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SEC Guidance on Mutual Funds: SEC Government Bond Funds.

NEW QUESTION # 77

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