

SIE Passing Score & Dumps SIE Questions

Registration	Before October 1, 2018		On or After October 1, 2018	
	Exam	# Questions	Exam	# Questions
Investment Company Representative (ICR)	Series 6	100	SIE	75
			Series 6	50
			Total	125
General Securities Representative (GS)	Series 7	250	SIE	75
			Series 7	125
			Total	200
DPP Representative (DR)	Series 22	100	SIE	75
			Series 22	50
			Total	125
Securities Trader (TD)	Series 57	125	SIE	75
			Series 57	50
			Total	125
Investment Banking Representative (IB)	Series 79	175	SIE	75
			Series 79	75
			Total	150
Private Securities Offerings Representative (PR)	Series 82	100	SIE	75
			Series 82	50
			Total	125
Research Analyst (RA)	Series 7	250	SIE	75
	Series 86	100	Series 86	100
	Series 87	50	Series 87	50
	Total		225	
Operations Professional (OP)	Series 99	100	SIE	75
			Series 99	50
			Total	125

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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"> 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 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.

>> SIE Passing Score <<

Dumps SIE Questions - SIE Learning Materials

Candidates all around the globe use their full potential only to get FINRA SIE certification. Once the candidate is a FINRA certified, he gets multiple good career opportunities in the FINRA sector. To pass the SIE Certification Exam a candidate needs to be

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q123-Q128):

NEW QUESTION # 123

Under FINRA rules, which of the following activities is not considered an outside business activity (OBA)?

- A. Selling health insurance
- B. Professionally refereeing athletic events
- C. Selling real estate
- D. Passively investing in a multifamily house for rental purposes

Answer: D

Explanation:

Step by Step Explanation:

* Outside Business Activity Definition: Per FINRA Rule 3270, an OBA involves compensated business activities outside the scope of the RR's role at their firm. Passive investments are excluded because they do not require active involvement.

* Incorrect Options:

* A, B, and C: Selling real estate, selling insurance, and refereeing are considered OBAs as they involve active participation and compensation.

References:

* FINRA Rule 3270 (Outside Business Activities): FINRA Rule 3270.

NEW QUESTION # 124

A registered representative (RR) has a referral relationship with a family friend who is not affiliated with the financial industry. In the absence of a formal agreement, which of the following ways is the RR permitted to compensate the family friend for referrals?

- A. The RR is permitted to split commissions with the family friend.
- B. The RR is permitted to give the family friend prepaid credit cards equal to 50% of the commissions earned on the referrals.
- C. The RR is permitted to take the family friend out to dinner as a way to say thank you.
- D. The RR is permitted to pay a flat-rate referral fee to the family friend.

Answer: C

Explanation:

FINRA prohibits the payment of referral fees or splitting of commissions with individuals who are not registered with a broker-dealer. However, taking a friend out to dinner as a gesture of gratitude is allowed, as it does not involve cash or monetary compensation directly tied to the referral.

* C is correct because non-monetary expressions of gratitude (like a dinner) are permitted under FINRA rules.

* A is incorrect because commission splitting with unregistered individuals is prohibited.

* B is incorrect because paying referral fees is also prohibited without registration.

* D is incorrect because giving prepaid credit cards tied to commission income violates compensation rules.

NEW QUESTION # 125

The civil penalty for an individual who is convicted of an insider trading violation is permitted to be an amount up to how many times the profit gained or loss avoided?

- A. 3 times
- B. 1 time
- C. 6 times
- D. 10 times

Answer: A

Explanation:

Under the Insider Trading and Securities Fraud Enforcement Act of 1988, the SEC may impose a civil penalty of up to three times the profit gained or loss avoided (referred to as "treble damages") on individuals found guilty of insider trading.

- * B is correct because treble damages equal three times the profit or avoided loss.
- * A is incorrect because the penalty is not limited to one time the profit.
- * C and D are incorrect because the penalty is capped at three times, not six or ten times.

NEW QUESTION # 126

A municipal securities dealer makes a political contribution of \$990 to a local mayoral candidate. At the end of the quarter, to whom, if anyone, must the dealer report the contribution?

- A. FINRA
- B. SEC
- C. No disclosure required as the amount is below the reporting threshold
- **D. MSRB**

Answer: D

Explanation:

Step by Step Explanation:

* MSRB Rule G-37: Requires municipal securities dealers to report contributions to the MSRB, even if the amount is below the \$1,000 threshold that would trigger a two-year prohibition on municipal business.

* Incorrect Options:

* SEC and FINRA: Not involved in reporting political contributions for municipal securities.

References:

* MSRB Rule G-37 (Political Contributions): MSRB Rule G-37.

NEW QUESTION # 127

When are registered persons required to fulfill their Continuing Education (CE) Regulatory Element requirement?

- **A. After the initial three-year requirement and then every two years**
- B. Annually
- C. Semiannually
- D. Upon the receipt of a customer complaint

Answer: A

Explanation:

FINRA's Continuing Education (CE) requirements include the Regulatory Element, which must be completed:

* Within 120 days of the second anniversary of a registered representative's initial registration.

* Every three years thereafter (changed to every two years as of 2023).

* C is correct because registered persons must complete the CE Regulatory Element after their initial requirement and then every two years.

* A and B are incorrect because CE is not required annually or semiannually.

* D is incorrect because CE is not tied to customer complaints.

Reference: FINRA Rule 1240 (Continuing Education Requirements)

NEW QUESTION # 128

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