

FINRA SIE題庫更新資訊 & SIE最新考證



Financial Industry Regulatory Authority
Securities Industry Essentials (SIE) Exam

CANDIDATE INFORMATION

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| Name: <input type="text"/> | ID: <input type="text"/> |
| Test Center: 9402 Remote Proctoring Center | Date: 08/03/2021 |

TEST RESULT

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| Result: Pass |
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順便提一下，可以從雲存儲中下載PDFExamDumps SIE考試題庫的完整版：<https://drive.google.com/open?id=1ZLsAwQQW0Y7Ou9zNfnHOs-UZvhCcBK-Z>

現在的FINRA題庫商為了賺錢，太多的促銷活動，從而降低了題庫質量，這讓SIE考生如何選擇呢？作為一個消費者來講，當然選擇價格低，覆蓋率高的題庫。價格低的網站太多了，但是這里考生需要考慮到品牌。一個網站的信譽有時候非常重要。許多朋友都在推薦 PDFExamDumps 的題庫。曾多次有考生稱贊該題庫讓他們高通過率獲取SIE認證。

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-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading. |
| 主題 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. |
| 主題 3 | <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 4 | <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. |

>> FINRA SIE題庫更新資訊 <<

FINRA SIE最新考證，SIE考題資源

如果你還在為 FINRA的SIE考試認證而感到煩惱，那麼你就選擇PDFExamDumps培訓資料網站吧，PDFExamDumps FINRA的SIE考試培訓資料無庸置疑是最好的培訓資料，選擇它是你最好的選擇，它可以保證你百分百通過考試獲得認證。來吧，你將是未來最棒的IT專家。

最新的 General Securities Representative SIE 免費考試真題 (Q75-Q80):

問題 #75

Publicly traded limited partnership interests are typically considered:

- A. Mutual funds
- B. Derivative investments
- C. Fixed-income securities
- D. **Equity securities**

答案: D

解題說明:

Step by Step Explanation:

* Publicly Traded Limited Partnerships (PTPs): Represent ownership stakes, which categorize them as equity securities. PTPs often involve sectors like real estate or energy.

* Incorrect Options:

- * A: Mutual funds are pooled investment vehicles, not partnerships.
- * C: Fixed-income securities are debt instruments like bonds.
- * D: Derivatives include options or futures, not ownership stakes.
- :

SEC Guidance on Publicly Traded Partnerships: SEC PTPs.

問題 #76

A registered representative (RR) intends to enter into an arrangement for compensation with an unaffiliated entity to participate in the sale of promissory notes to the general public. Which of the following statements is true?

- A. **The RR must receive written approval from his firm prior to entering into this arrangement.**
- B. The RR is required to notify his firm regarding this arrangement if compensation received is directly related to transactions.
- C. The RR is not required to provide prior notice to his firm as promissory notes are not considered securities.
- D. This is a permissible arrangement, and the RR is only required to notify his firm.

答案: A

解題說明:

Step by Step Explanation:

* Private Securities Transactions: Under FINRA Rule 3280, RRs must obtain written approval from their employing firm before participating in the sale of securities outside the firm

* Promissory Notes: These are typically considered securities, requiring prior approval.

* Incorrect Options:

- * A & C: Notification alone is insufficient; written approval is required.
- * D: Promissory notes are generally treated as securities under federal law.

References:

* FINRA Rule 3280 (Private Securities Transactions): FINRA Rule 3280.

問題 #77

A customer purchases 100 shares of stock. The customer fears a decline in the share price and would like to protect his investment and minimize loss. Which of the following strategies should the customer employ to lock in his profit?

- A. Purchase a call
- B. Sell a call
- C. Sell a put
- D. **Purchase a put**

答案: D

解題說明:

Purchasing a put option allows the customer to sell the stock at a predetermined price (the strike price) if the share price declines. This strategy protects against downside risk while maintaining upside potential.

* C is correct because a put acts as insurance, locking in a minimum sale price.

* A is incorrect because selling a put exposes the investor to additional risk if the stock declines.

- * Bis incorrect because selling a call generates income but does not protect against downside risk.
- * Dis incorrect because purchasing a call is a bullish strategy unrelated to protecting existing positions.

問題 #78

How does an individual acquire restricted stock?

- A. By exercising publicly traded warrants
- B. By exercising an option for exchange-traded calls
- C. **By participating in an SEC Regulation D offering**
- D. By participating in an initial public offering (IPO)

答案: C

解題說明:

Restricted stock refers to securities acquired through private placements, such as those offered under Regulation D. These securities are not registered with the SEC and are subject to holding period restrictions before resale.

- * A is correct because Regulation D offerings involve private placements, resulting in restricted stock.
- * B is incorrect because IPOs involve publicly traded shares, not restricted stock.
- * C and D are incorrect because restricted stock is not obtained through warrants or exchange-traded options.

問題 #79

Which of the following strategies is an investor most likely to employ using options contracts?

- A. Selling call options to set a definitive ceiling for potential losses
- B. **Buying put options to set a definitive floor for potential losses**
- C. Buying call options when the market shows downward momentum
- D. Buying put options when the market shows upward momentum

答案: B

解題說明:

Buying a put option gives the investor the right to sell a stock at a specific strike price, effectively setting a floor for potential losses if the stock price declines. This is a common risk-management strategy.

- * A is correct because buying puts limits downside risk while retaining the potential for upside gains.
- * B is incorrect as buying puts is a bearish strategy, not one used during upward momentum.
- * C is incorrect because selling call options does not hedge losses; it is a speculative or income-generating strategy.
- * D is incorrect because buying calls is a bullish strategy, used during upward momentum, not downward.

問題 #80

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