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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 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">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 4	<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 5	<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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q115-Q120):

NEW QUESTION # 115

A registered representative (RR) opens a new account for a customer whose investment objectives are growth and income. She makes an initial deposit of \$5,500 using a series of money orders drawn from different sources, and she makes no investments for the first 30 days the account is open. At the end of that time, the customer asks to have the funds wired to an account at a different firm as her needs have changed. The RR's first course of action should be to:

- A. Accept the instructions and wire the funds.
- B. Deny the request.
- C. Freeze the account.
- D. Report internally as a suspicious activity.

Answer: D

Explanation:

Step by Step Explanation:

* Suspicious Activity: The use of multiple money orders, lack of investment activity, and request to wire funds to another firm raise red flags for potential money laundering.

* FINRA Rules: The RR should escalate the issue by reporting internally and potentially filing a Suspicious Activity Report (SAR).

* Incorrect Options:

- * A: Denying the request without investigation may violate customer instructions.
- * B: Freezing the account requires a valid legal or regulatory basis.
- * C: Processing the request without investigation could facilitate illegal activity.

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FINRA Anti-Money Laundering (AML) Guidance: FINRA AML Rules.

NEW QUESTION # 116

When is it permissible to exercise European-style options contracts?

- A. Only on the last business day before expiration
- B. Only on the day after expiration
- C. Only on the third Friday of every month
- D. Only on the day of expiration

Answer: D

Explanation:

Step by Step Explanation:

* European-Style Options: Can only be exercised on their expiration date, unlike American-style options, which can be exercised any time before expiration.

* Incorrect Options:

- * A: Not accurate; the exercise must occur specifically on the expiration date.
- * C: Options cannot be exercised after expiration.
- * D: The expiration date depends on the option contract, not a specific weekday.

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Options Clearing Corporation (OCC) Guidelines: OCC European Options.

NEW QUESTION # 117

Which of the following company details is included on a balance sheet?

- A. Assets, debts and the amount invested in the company
- B. Assets, debts and number of investors
- C. Earnings at a specific point in time
- D. Revenues and expenses

Answer: A

Explanation:

A balance sheet provides a snapshot of a company's financial position at a specific point in time by showing what the company owns and owes, and the residual value attributable to owners. The core balance sheet equation is Assets = Liabilities + Shareholders' Equity. That is why the best description among the choices is

"assets, debts, and the amount invested in the company"-assets correspond to resources owned, debts correspond to liabilities owed, and the "amount invested" corresponds to equity (often including paid-in capital and retained earnings). This aligns with how fundamental analysis uses financial statements to evaluate issuer health, leverage, and capitalization.

Choice A (revenues and expenses) describes an income statement, which measures operating performance over a period of time (e.g., a quarter or a year), not a point-in-time snapshot. Choice B is misleading: while a balance sheet is indeed "at a specific point in time," it does not show "earnings" at a point in time. Earnings are generated over a period and appear on the income statement; the balance sheet may reflect accumulated earnings through retained earnings, but it is not an earnings statement. Choice C is incorrect because the balance sheet does not include the "number of investors" as a standard line item. Public companies disclose shares outstanding elsewhere, but investor count is not a balance sheet category.

For SIE purposes, the key is recognizing which statement answers which question: balance sheet = financial position (assets, liabilities, equity), income statement = profitability (revenue, expenses, net income), and cash flow statement = sources/uses of cash.

NEW QUESTION # 118

A customer owns 100 shares of ABC with a current market value of \$5.00 per share. The company undergoes a 1-for-2 reverse split of the stock. Which of the following statements is true of the customer's holdings and the price of the stock?

- A. The customer will have 100 shares at \$5.00 per share.
- B. The customer will have 1,000 shares at \$0.50 per share.
- **C. The customer will have 50 shares at \$10.00 per share.**
- D. The customer will have 200 shares at \$2.50 per share.

Answer: C

Explanation:

Step by Step Explanation:

* Reverse Split Calculation: A 1-for-2 reverse split reduces the number of shares by half while doubling the price per share.

* Pre-Split Holdings: 100 shares at \$5.00 = \$500.

* Post-Split Holdings: 50 shares at \$10.00 = \$500.

* Incorrect Options: The total value remains unchanged; only the number of shares and price per share adjust.

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FINRA Corporate Actions Guidance: FINRA Reverse Splits.

NEW QUESTION # 119

Which of the following responses describes a warrant?

- A. A fixed-income security issued by a state or municipality
- **B. The right to purchase a specified amount of shares**
- C. An interest-paying security
- D. Redemption rights for a debt instrument

Answer: B

Explanation:

Step by Step Explanation:

* Warrants: These are long-term options issued by a company that give the holder the right to buy shares at a specific price before expiration. They are typically attached to bond or stock offerings to make them more attractive.

* Incorrect Options:

* A: Warrants do not pay interest.

* B: Refers to callable bonds, not warrants.

* D: Describes municipal bonds, not warrants.

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SEC Guide to Warrants and Options: SEC Warrants Information.

NEW QUESTION # 120

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