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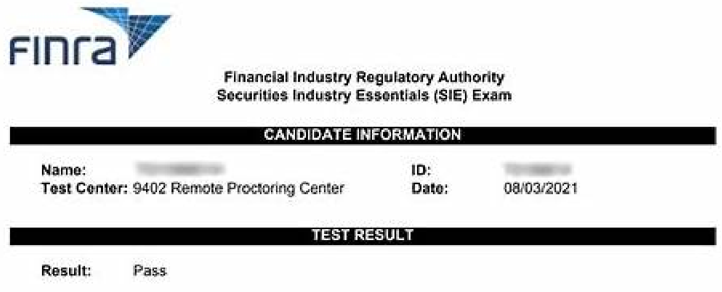

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	• 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 2	• 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	• 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 4	• 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	• 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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q248-Q253):

NEW QUESTION # 248
An investor is normally subject to the greatest degree of market risk when purchasing:

- A. preferred stock.
- B. U.S. government bonds.
- C. common stock.
- D. corporate bonds.

Answer: C

Explanation:
Among the choices, common stock generally exposes an investor to the greatest market risk, so A is correct.
Market risk (systematic risk) is the risk that overall market movements-driven by economic conditions, interest rates, investor sentiment, geopolitical events, and broad factors-will cause the value of an investment to fluctuate. Common stocks typically have the most direct exposure to business performance expectations and market sentiment, and they do not have contractual cash flows or principal repayment at maturity. Because common shareholders are residual owners, their value can be highly volatile and can decline significantly in adverse markets or company-specific downturns.
Preferred stock (choice B) is generally less volatile than common stock because it has a stated dividend and a senior claim over common in dividends and liquidation, though it still carries equity risk and rate sensitivity.
Corporate bonds (choice C) are debt instruments with contractual interest payments and principal repayment at maturity; while they do have interest rate and credit risk and can fluctuate in price, they typically exhibit less market volatility than common stocks. U.S. government bonds (choice D) are generally considered to have low credit risk and often lower volatility relative to equities; their primary risk is interest rate risk rather than equity market risk, and they often behave differently than stocks during market stress.
On the SIE, this type of question tests the basic hierarchy: equities (especially common) are generally riskier and more volatile than debt, and within debt, U.S. government securities are typically viewed as having lower credit risk than corporate debt. Therefore, common stock is the best answer for greatest market risk exposure.

NEW QUESTION # 249
Which of the following types of stock refers to the maximum number of shares a corporation is legally permitted to issue, as specified in its articles of incorporation?

- A. Authorized stock
- B. Treasury stock
- C. Restricted stock
- D. Issued stock

Answer: A

Explanation:
Authorized stock is the maximum number of shares a corporation is legally permitted to issue under its corporate charter (articles of incorporation). That is why choice D is correct. The authorized share count is established when the company is formed and can typically be changed later only through proper corporate procedures (often requiring board approval and shareholder approval, depending on jurisdiction and governing documents). The purpose is to define the company's legal capacity to issue shares for capital

raising, compensation plans, acquisitions, and other corporate needs.
Choice A, issued stock, refers to shares that have actually been sold/issued by the corporation to shareholders.
Issued shares are always less than or equal to authorized shares. Choice B, treasury stock, refers to shares that were previously issued and outstanding but have been repurchased by the corporation and are held in the company's treasury; treasury shares are not outstanding and typically have no voting rights or dividend rights while held by the issuer. Choice C, restricted stock, refers to shares subject to resale restrictions (often associated with Rule 144 or insider/control stock concepts), not the legal maximum number of shares.
This question is a straightforward corporate equity definition commonly tested on the SIE because it links to shareholder rights, corporate actions, and capitalization structure. Candidates should clearly distinguish:
Authorized = legal limit the company may issue
Issued = shares the company has sold/issued
Outstanding = issued minus treasury (shares held by public)
Treasury = repurchased shares held by the issuer
Understanding these terms helps when analyzing corporate filings, dilution, and equity financing decisions.

NEW QUESTION # 250
Which of the following is a reportable obligation with respect to an individual's Form U4?

- A. A speeding ticket
- B. A change of business telephone number
- C. A change of residential address
- D. A gambling-related misdemeanor charge

Answer: D

Explanation:
Step by Step Explanation:
* Form U4 Reporting Requirements: Registered persons must disclose criminal charges (excluding minor traffic violations) and material changes such as residential address changes. Gambling-related misdemeanors are considered reportable.
* Incorrect Options:
* Speeding Ticket: Typically not reportable unless it involves a felony.
* Business Telephone Number: Not material for Form U4.
References:
* FINRA Form U4 Instructions: FINRA Form U4.

NEW QUESTION # 251
Callable preferred stock is most likely to be called when interest rates are:

- A. stable.
- B. fluctuating.
- C. falling.
- D. rising.

Answer: C

Explanation:
Callable preferred stock is most likely to be called when interest rates are falling, which makes choice C correct. The "call" feature gives the issuer the right (but not the obligation) to redeem the preferred stock at a stated call price after a certain date. Issuers tend to exercise call provisions when it becomes economically beneficial-most commonly when they can refinance or replace the outstanding security with a new issue that has a lower dividend rate (lower cost of capital).
When interest rates fall, newly issued preferred stock (and other income-focused securities) can often be sold with lower dividend yields because investors will accept lower yields in a lower-rate environment. If the issuer has older preferred shares outstanding that pay a relatively high dividend, the issuer may choose to call those shares and issue new preferred at a lower rate, reducing financing costs. This is similar to why callable bonds are often redeemed when rates decline: the issuer can refinance at cheaper levels.
If interest rates are rising (choice B), calling an existing higher-dividend preferred would usually be disadvantageous because a replacement issue would likely require an even higher dividend to attract investors, increasing costs. If rates are stable or merely fluctuating (choices A and D), there is no consistent incentive that makes calling "most likely." The strongest, most tested driver is a declining rate environment.
On the SIE, this question targets call risk and reinvestment risk for investors: when a security is called, investors receive principal

back and may be forced to reinvest at lower yields. Understanding the issuer's incentive is key: issuers call when it benefits them, typically when rates fall.

NEW QUESTION # 252
Rising economic activity is most likely to increase revenues of which of the following sectors?

- A. Utilities
- B. Consumer discretionary
- C. Consumer staples
- D. Healthcare

Answer: B

Explanation:
Step by Step Explanation:
* Consumer Discretionary Sector: Includes products and services that are not essential, such as luxury items, travel, and entertainment. Revenues increase as disposable income rises during economic expansion.
* Consumer Staples and Utilities: These sectors are defensive and less impacted by economic cycles.
* Healthcare: Also less correlated with economic cycles due to its essential nature.
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SEC and FINRA Guidance on Sectors: Investopedia Sector Overview.

NEW QUESTION # 253
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