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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 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"> 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 4	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q69-Q74):

NEW QUESTION # 69

A customer holds 1,000 shares of Company XYZ and wants to sell covered calls against this position. What is the maximum number of contracts that the customer could sell and still remain covered?

- A. 1,000 contracts
- B. 5 contracts
- C. 100 contracts
- D. 10 contracts

Answer: D

Explanation:

Each option contract represents 100 shares. A covered call involves selling a call option while holding an equivalent number of shares to deliver if the option is exercised.

* The customer owns 1,000 shares.

* Since 1 contract = 100 shares, the maximum number of contracts the customer can sell is: 1,000 shares

÷ 100 shares/contract = 10 contracts.

* B is correct because selling 10 contracts corresponds to 1,000 shares, fully covering the position.

NEW QUESTION # 70

Which of the following activities engaged in by a registered person is considered a private securities transaction?

- A. Working for an insurance company selling term life insurance policies
- B. Investing personal money in shares of a listed security in a brokerage account
- C. Soliciting donations to a charity
- D. Helping a friend raise money for a startup company they founded

Answer: D

Explanation:

A private securities transaction involves the sale of securities outside the scope of a registered representative's employment with their member firm. Such transactions must be disclosed to and approved by the firm under FINRA Rule 3280.

* B is correct because raising money for a startup involves the sale of securities and must be reported as a private securities transaction.

* A is incorrect because soliciting charitable donations does not involve securities.

* C is incorrect because selling term life insurance policies is not a securities transaction.

* D is incorrect because investing personal money does not involve soliciting or selling securities to others.

NEW QUESTION # 71

Pursuant to FINRA rules, which of the following content is inappropriate to link to from a business-related social media site?

- A. A link to an investment's website stating the investment's performance over the next five years
- B. A link to a company's filing on EDGAR that contains information on a press release about the company
- C. A link to the firm's website discussing its products and services
- D. A link to information on a mutual fund that discusses previous performance over the last five years

Answer: A

Explanation:

Under FINRA Rule 2210, firms must avoid making predictions or projections of future investment performance.

* B is correct because it involves prohibited predictive statements.

* A, C, and D are acceptable under FINRA guidelines, as they do not involve prohibited content.

NEW QUESTION # 72

Which of the following characteristics is true of open-end mutual fund shares?

- A. They are purchased by investors in the secondary market.
- B. They are purchased by investors directly from the fund or through a broker-dealer offering the fund.
- C. Their price is calculated intra-day based on the changing market value of the fund.
- D. They terminate and dissolve on an established date.

Answer: B

Explanation:

Open-end mutual funds do not trade on secondary markets. Instead, shares are continuously issued or redeemed by the fund at the net asset value (NAV), calculated at the market close.

* D is correct because investors purchase and redeem shares directly through the fund or authorized brokers.

* A is incorrect because mutual funds do not have a predetermined dissolution date.

* B is incorrect because mutual fund shares are priced at the NAV calculated once daily after the market closes.

* C is incorrect because secondary market trading applies to closed-end funds and ETFs, not open-end mutual funds.

NEW QUESTION # 73

Before an affiliate of an issuer is permitted to sell 10,000 shares of restricted securities, which of the following conditions must be met?

- A. The affiliate must have a holding period of six months.
- B. The company must be traded on a listed stock exchange.
- C. The shares to be sold must be less than 10% of the average daily trading volume (ADTV) of the security.
- D. The issuer must notify FINRA of the proposed sale by submitting a Form 144.

Answer: A

Explanation:

Step by Step Explanation:

* Rule 144 Holding Period: Restricted securities held by affiliates require a six-month holding period before sale, provided the issuer is subject to SEC reporting requirements.

* Other Options:

* Notification to FINRA (C) is incorrect; Form 144 is submitted to the SEC, not FINRA.

* The 10% ADTV limitation (D) applies to the volume of shares sold, not the conditions for sale.

References:

* SEC Rule 144 (Selling Restricted Securities): SEC Rule 144.

NEW QUESTION # 74

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