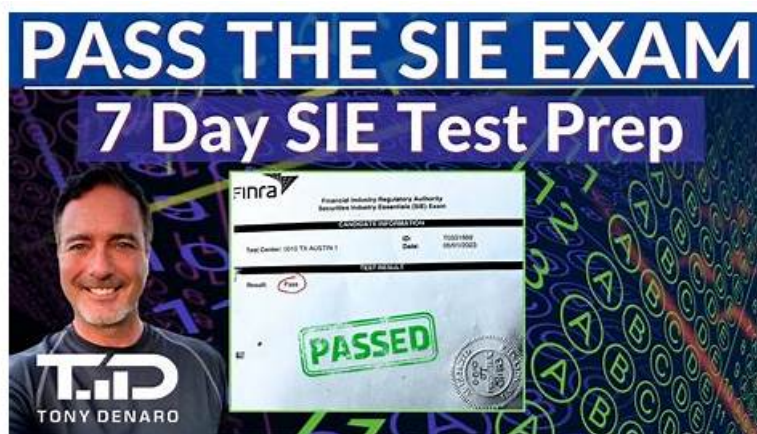


# New SIE Test Registration - SIE Reliable Test Tips



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## FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"><li>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.</li></ul>
Topic 2	<ul style="list-style-type: none"><li>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.</li></ul>
Topic 3	<ul style="list-style-type: none"><li>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.</li></ul>
Topic 4	<ul style="list-style-type: none"><li>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.</li></ul>

## SIE Best Practice Exam & SIE Reliable Soft Simulations & SIE New Study Questions Pdf

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### FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q155-Q160):

#### NEW QUESTION # 155

A city has appointed Broker-dealer XYZ to act as lead underwriter for its upcoming issuance of municipal bonds. This is an example of which of the following types of offering?

- A. A follow-on offering
- B. A competitive offering
- C. A negotiated offering
- D. A best-efforts offering

**Answer: C**

Explanation:

Step by Step Explanation:

\* Negotiated Offering: Occurs when the issuer directly selects an underwriter and negotiates terms.

Common in municipal bond issuances.

\* Incorrect Options:

\* A: Follow-on offerings apply to subsequent issuances of equity securities.

\* C: Competitive offerings involve multiple underwriters submitting bids.

\* D: Best-efforts offerings do not guarantee the sale of all securities.

References:

\* MSRB Overview of Municipal Offerings: MSRB Offerings.

#### NEW QUESTION # 156

Class A and Class C shares of a mutual fund differ in which of the following ways?

- A. The net asset value (NAV)
- B. The expense ratio
- C. When the customer is permitted to purchase
- D. The underlying investments

**Answer: B**

Explanation:

Step by Step Explanation:

\* Expense Ratio: Class A shares typically have lower ongoing expense ratios but higher front-end sales charges. Class C shares often have higher ongoing expense ratios but no front-end charges.

\* Incorrect Options:

\* B: NAV is determined daily and does not vary by share class.

\* C: All share classes invest in the same underlying portfolio.

\* D: Purchase timing is the same for all share classes.

References:

\* SEC Guidance on Mutual Fund Share Classes: SEC Fund Classes.

#### NEW QUESTION # 157

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

- A. A speeding ticket

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

**Answer: B**

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 # 158

A market maker quotes the market on an NMS equity security as 39.05 - 39.15 [5x10]. Which of the following orders is the market maker required to fill?

- A. A sell order for 300 shares at \$39.05
- B. A buy order for 2,000 shares at \$39.15
- C. A sell stop order for 500 shares at \$39.00
- D. A buy order for 1,000 shares at \$39.10

**Answer: B**

### NEW QUESTION # 159

Which of the following responses describes a collateralized mortgage obligation (CMO) tranche?

- A. The estimated average life of the CMO expressed in years and months
- B. The yield a customer should expect if the CMO is held to maturity
- C. The method of underwriting used by the issuer to securitize the loans in the portfolio
- D. A slice of the investment representing a coupon rate, maturity date, and credit rating

**Answer: D**

Explanation:

CMOs are divided into tranches, which are portions of the pool of mortgage-backed securities. Each tranche has its own characteristics, including coupon rate, maturity date, and credit rating, tailored to meet the needs of different investors.

\* C is correct because tranches represent slices of the investment with specific terms.

\* A is incorrect because the yield depends on prepayment rates and interest rate changes.

\* B is incorrect as average life is an estimate, not a defining characteristic of a tranche.

\* D is incorrect because underwriting is unrelated to the definition of a tranche.

### NEW QUESTION # 160

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