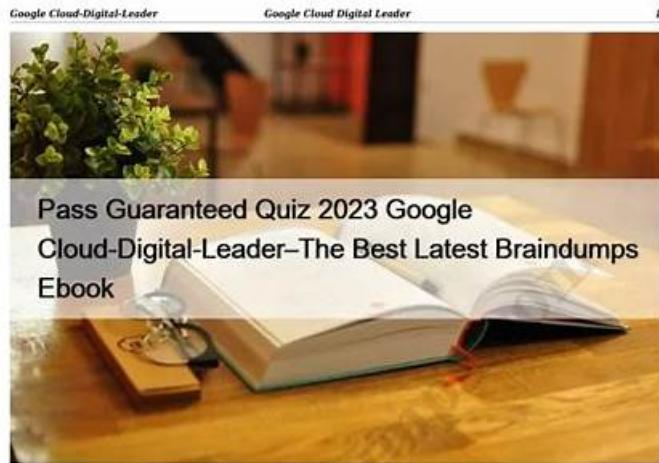


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 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"> 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.
Topic 5	<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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q124-Q129):

NEW QUESTION # 124

An investor owns 100 shares of a company's stock and is very interested in electing a particular individual to the board of directors of the corporation. There are 20 individuals running to fill 10 board seats. If the corporation uses the cumulative voting method, what is the maximum number of votes the investor is permitted to cast for this particular director?

- A. 2,000 votes
- B. 1,000 votes**
- C. 100 votes
- D. 50 votes

Answer: B

Explanation:

In cumulative voting, shareholders can allocate all their votes to a single candidate. The total number of votes is calculated by multiplying the number of shares owned by the number of seats available:

* Total votes = 100 shares \times 10 seats = 1,000 votes.

* The investor can allocate all votes to one candidate.

* C is correct because cumulative voting allows all votes to be concentrated.

NEW QUESTION # 125

Which of the following is the primary risk of using asset allocation models without periodic rebalancing?

- A. Inflation
- B. Interest rate risk
- **C. Overweighting**
- D. Marketability

Answer: C

Explanation:

Step by Step Explanation:

* Rebalancing: Ensures that a portfolio remains aligned with its target allocation. Without rebalancing, outperforming assets can become overweighted, increasing exposure to specific risks.

* Incorrect Options:

* Inflation: Impacts purchasing power but isn't tied to rebalancing.

* Marketability: Refers to liquidity and isn't linked to allocation models.

* Interest Rate Risk: Relates to fixed-income investments and isn't directly addressed by allocation models.

References:

* SEC Investor Bulletin on Asset Allocation: SEC Asset Allocation.

NEW QUESTION # 126

If an investor is bullish on ABC, which of the following actions will he most likely take?

- A. Buy ABC puts
- **B. Buy ABC stock**
- C. Sell ABC stock short
- D. Sell ABC calls

Answer: B

Explanation:

Step by Step Explanation:

* Bullish Position: Buying ABC stock aligns with the expectation that the stock's price will rise, allowing the investor to profit.

* Incorrect Options:

* A: Buying puts is a bearish strategy.

* C: Selling calls benefits from stable or declining prices.

* D: Selling short is a bearish strategy anticipating a price drop.

References:

* FINRA Guidance on Market Strategies: FINRA Trading Basics.

NEW QUESTION # 127

When the index level and strike price of a listed index option are the same, the option is:

- **A. At the money.**
- B. Out of the money.
- C. Trading at intrinsic value only.
- D. In the money.

Answer: A

Explanation:

An option is considered "at the money" when the current price of the underlying asset (or index level) equals the option's strike price.

* B is correct because the index level equals the strike price.

* A is incorrect because "in the money" requires the option to have intrinsic value (e.g., for a call, the index level must be above the strike price).

* C is incorrect because "out of the money" applies when the index level is below the strike price (for calls) or above it (for puts).

* D is incorrect because "at the money" options have no intrinsic value.

NEW QUESTION # 128

Which of the following products is redeemable at net asset value (NAV)?

- A. Corporate stock
- B. Open-end mutual funds
- C. Municipal bonds
- D. Options contracts

Answer: B

Explanation:

Open-end mutual funds are redeemable securities, meaning investors can sell their shares back to the fund at the NAV.

* D is correct because mutual funds allow redemption at NAV.

* A.B. and Care not redeemable securities.

NEW QUESTION # 129

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