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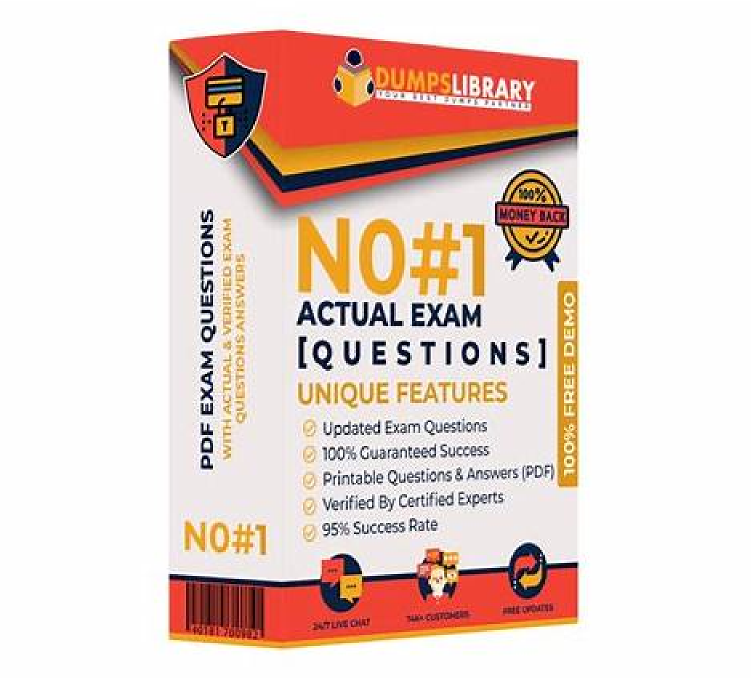

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	• 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	• 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	• 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-til-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
Topic 4	• 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	• 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.

Prominent Features of Pass4sures FINRA SIE Exam Questions

You should practice with Pass4sures FINRA SIE exam questions that are aligned with the latest content of the FINRA SIE test. Pass4sures FINRA SIE questions are designed to provide you with the knowledge essential to get certified very quickly. These FINRA exam questions remove the need for you to spend time on unnecessary or irrelevant material, allowing you to complete your SIE Exam Preparation swiftly.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q56-Q61):

NEW QUESTION # 56
A confirmation indicates a 100-share purchase of Company ABC at $11. According to SEC rules, which of the following information is required to be stated on the confirmation?

- A. The capacity in which the firm acted when executing the trade
- B. The firm's cost basis in the security
- C. The firm's inventory level at the time of trade execution
- D. That the firm did not act as a market maker in the security

Answer: A

Explanation:
Step by Step Explanation:
* SEC Rule 10b-10: Requires trade confirmations to disclose the capacity in which the firm acted (e.g., as agent or principal) and details like trade price, quantity, and commissions.
* Incorrect Options:
* A: Cost basis is not disclosed on trade confirmations.
* B: Inventory levels are not part of the required disclosures.
* C: Market maker status is not explicitly required in the confirmation.
References:
* SEC Rule 10b-10 (Confirmation Requirements): SEC Rule 10b-10.

NEW QUESTION # 57
Which of the following responses best describes a short sale?

- A. A sale of securities that results in a loss
- B. A sale of securities that the investor had purchased in his cash account but had not yet paid for
- C. A sale of securities that results in an unsecured debit balance in the investor's account
- D. A sale of securities that the investor does not own

Answer: D

Explanation:
Step by Step Explanation:
* Short Sale Definition: Involves selling borrowed securities with the expectation of repurchasing them at a lower price.
* Investor Ownership: Short sales do not involve securities already owned by the seller.
* Other Options: None of the other choices accurately define a short sale.
References:

* SEC Regulation SHO (Short Selling): SEC Short Sales.

NEW QUESTION # 58
A customer purchases 100 shares of stock on Thursday, August 2. This transaction must settle regular way no later than:

- A. Friday, August 3
- B. Tuesday, August 7
- C. Wednesday, August 8
- D. Monday, August 6

Answer: D

Explanation:
Step by Step Explanation:
* Regular-Way Settlement: For equity securities, settlement occurs on a T+2 basis, meaning two business days after the trade date.
* Calculation:
* Trade Date (T): Thursday, August 2.
* T+2 Settlement: Excludes weekends, so settlement falls on Monday, August 6.
* Incorrect Options:
* A: Reflects T+1, not the correct settlement cycle.
* C & D: Extend beyond the standard T+2 cycle.
References:
* FINRA and SEC Settlement Rules: SEC Settlement Rules.

NEW QUESTION # 59
Which of the following account registration types is subject to probate upon the death of the account owner?

- A. Irrevocable trust
- B. Individual
- C. Joint tenants with right of survivorship (JTWROS)
- D. Transfer-on-death (TOD)

Answer: B

Explanation:
Accounts held individually are subject to probate, which is the legal process of administering the decedent's estate. Probate determines the distribution of assets according to the deceased's will or state intestacy laws.
* A is correctbecause individual accounts require probate to transfer assets.
* Bis incorrect because irrevocable trusts bypass probate.
* Cis incorrect because TOD accounts allow direct transfer of assets to named beneficiarieswithout probate.
* Dis incorrect because JTWROS accounts transfer ownership to the surviving account holder automatically.

NEW QUESTION # 60
A real estate investment trust (REIT) is required to invest what percentage of total assets in real-estate-related assets to maintain favorable tax treatment?

- A. 100% of assets
- B. At least 50% of total assets
- C. At least 90% of total assets
- D. At least 75% of total assets

Answer: D

Explanation:
Step by Step Explanation:
* REIT Requirements: REITs must invest at least 75% of their total assets in real estate to qualify for favorable tax treatment under IRS regulations.
* 90% Rule: Refers to the distribution requirement for taxable income, not asset allocation.

* 100% Rule: There is no requirement to allocate 100% of assets to real estate.
References:
* IRS Publication 542 (Real Estate Investment Trusts): IRS REIT Guidelines.

NEW QUESTION # 61
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Regular practice can give you the skills and confidence needed to perform well on your SIE exam. By practicing your Securities Industry Essentials Exam (SIE) (SIE) exam regularly, you can increase your chances of success and make sure that all of your hard work pays off when it comes time to take the test. We understand that every Securities Industry Essentials Exam (SIE) (SIE) exam taker has different preferences. To make sure that our FINRA SIE preparation material is accessible to everyone, we made it available in three different formats.

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