

Prominent Features of Snowflake GES-C01 Exam Practice Test Questions

83 SIE Practice Exam Questions with Correct Answers

A broker-dealer is permitted to accept payment for a new issue from a new customer when the: >>> **registration is effective**

Which of the following actions is required when a firm receives cash in excess of \$10,000 from one customer in one business day? >>> **File a Currency Transaction Report (CTR)**

A transaction in which a writer covers a position by purchasing an option is called? >>> **a closing purchase**

A customer has a cash balance in her account together with long positions in several securities. She has made no securities transactions in the account during the past 18 months. How often must the firm send her an account statement? >>> **Quarterly**

To offer its shareholders a privilege to obtain its shares at a fixed price, which of the following products does a corporation issue? >>> **Rights**

Which of the following responses describes an advantage of index funds? >>> **Lower management fees due to passive management of the fund**

Blue-sky laws are regulated by which of the following entities? >>> **State securities regulators**

Company ABC announces a 20% stock dividend for its common shareholders. If a customer holds 1,000 shares at \$50.00, what is the new price and number of shares following the payment of the stock dividend? >>> **1,200 shares at \$41.67**

An associated person who is not a registered representative is permitted to engage in which of the following activities? >>> **Provide account opening forms to a new customer**

Which of the following security types provides investors with a stated maturity date, a floating interest rate, and an option to put the security back to a financial intermediary on a daily weekly basis? >>> **Variable rate demand note**

The primary purpose of a syndicate desk in the context of an equity offering is to: >>> **Build an order book and allocate the stock**

At the time of issuance, which of the following securities normally has the longest period to expiration? >>> **Warrants**

The objective of GES-C01 is to assist candidates in preparing for the SnowPro® Specialty: Gen AI Certification Exam (GES-C01) certification test by equipping them with the actual Snowflake GES-C01 questions PDF and GES-C01 practice exams to attempt the prepare for your GES-C01 Exam successfully. The SnowPro® Specialty: Gen AI Certification Exam (GES-C01) practice material comes in three formats, desktop GES-C01 practice test software, web-based GES-C01 practice exam, and GES-C01 Dumps PDF that cover all exam topics.

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Snowflake SnowPro® Specialty: Gen AI Certification Exam Sample Questions (Q66-Q71):

NEW QUESTION # 66

A financial institution is fine-tuning a llama3.1-70b model within Snowflake Cortex using sensitive internal financial reports to improve sentiment analysis on earnings call transcripts. They need to understand the implications for data privacy, model ownership, and how this fine-tuned model can be managed and shared. Which of the following statements are true regarding this process?

- A. The financial reports used for fine-tuning the llama3.1-7b model are securely isolated and are not used by Snowflake to train or re-train models for other customers.
- B. The fine-tuned model, being of type CORTEX_FINETUNED, can be shared with other Snowflake accounts using secure data sharing capabilities.
- C. The fine-tuning process requires the explicit provisioning and management of a Snowpark-optimized warehouse with GPU resources by the institution.
- D. Fine-tuned LLMs built with Cortex Fine-tuning are fully managed through the Snowflake Model Registry API, allowing for programmatic deployment, version control, and comprehensive lifecycle management.
- E. The resulting fine-tuned model (e.g., my_sentiment_model) is the exclusive property of the financial institution and cannot be accessed or used by any other Snowflake customer.

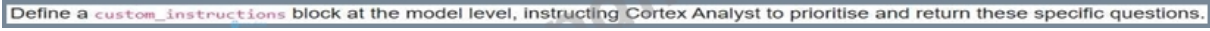
Answer: A,B,E

Explanation:

Option A is correct. Snowflake's privacy principles state that your Usage and Customer Data (including inputs and outputs for fine-tuning) are NOT used to train, re-train, or fine-tune Models made available to others. Option B is correct. Fine-tuned models built using your data can only be used by you, ensuring exclusivity. Option C is correct. Models generated with Cortex Fine-tuning (specifically of the type) can be shared using Data Sharing. Option D is incorrect. While Cortex Fine-Tuned LLMs appear in the Model Registry's Snowsight UI, they are *not* managed by the Model Registry API. Option E is incorrect. Cortex Fine-tuning is described as a 'fully managed service' within Snowflake, which abstracts away much of the underlying infrastructure management like GPU resources, although a warehouse is selected for the job. Explicit provisioning and management of compute pools with GPUs is more characteristic of Snowpark Container Services for custom models.

NEW QUESTION # 67

A Gen AI Specialist is responsible for maintaining a Cortex Analyst-powered application. They have defined a semantic model that includes a Verified Query Repository (VQR) to guide user interactions. The application front-end uses the Suggested Questions feature to help users get started. The specialist wants to ensure that a specific set of critical, verified business questions are always displayed to users, regardless of their prior input or the semantic similarity to their current query. Which of the following configuration steps in the semantic model YAML will achieve this requirement?

- A. 
- B. 
- C. 
- D. 
- E. 

Answer: B

Explanation:

Cortex Analyst's Suggested Questions feature offers a customizable mode to display specific questions consistently. To ensure a specific set of critical questions are always displayed to users, regardless of their input, the specialist must use the `use_as_onboarding_question` flag in the Verified Query Repository (VQR) configuration. Option B is correct because setting the `use_as_onboarding_question` flag to `true` for each critical question in the `verified_queries` section will instruct Cortex Analyst to return **all** questions marked as onboarding questions, irrespective of their similarity to the user's input. This is explicitly designed for scenarios where predefined, answerable questions need to be presented, such as in an onboarding experience. Option A is incorrect; the `task_description` is an optional argument for functions like `CLASSIFY_TEXT` and describes the task for the LLM, not for displaying suggested questions in the UI. Option C is incorrect; `custom_instructions` are used to control Cortex Analyst's SQL query generation based on business context, not to dictate the display of suggested questions in the front-end. Option D is incorrect; setting the `temperature` parameter to `0` makes LLM responses more deterministic, but it influences the content of LLM-generated suggestions (if no VQR is present) rather than guaranteeing the display of specific pre-configured VQR questions. Option E is incorrect; `filters` limit the data accessible through a logical table, but they do not directly control which questions are suggested to the user in the application interface.

NEW QUESTION # 68

An analytics team is preparing documents for a new Document AI model build to extract information from internal policy reviews. They have a variety of documents that they intend to upload to an internal stage for processing. The document list includes: (1) a 70 MB PDF with 100 pages, (2) a 45 MB DOCX with 150 pages, (3) a 30 MB PNG image, (4) a 60 MB TIFF image, and (5) a 20 MB HTML file. All documents are in English. Which of these documents would 'fail' to meet the direct input requirements for Document AI processing?

- A. The 45 MB DOCX with 150 pages.
- B. The 70 MB PDF with 100 pages.
- C. The 30 MB PNG image.
- D. The 60 MB TIFF image.
- E. The 20 MB HTML file.

Answer: A,B,D

Explanation:

Document AI has specific limitations for document processing. Documents must be no more than 125 pages long and 50 MB or less in size. Supported formats include PDF, PNG, DOCX, EML, JPEG/JPG, HTM/HTML, TEXT/TXT, and TIF/TIFF. - **Option A** (70 MB PDF, 100 pages): Fails on the maximum file size requirement (max 50 MB). - **Option B** (45 MB DOCX, 150 pages): Fails on the maximum page count requirement (max 125 pages). - **Option C** (30 MB PNG image): Meets requirements as it is within size limits and a supported format. - **Option D** (60 MB TIFF image): Fails on the maximum file size requirement (max 50 MB). - **Option E** (20 MB HTML file): Meets requirements as it is within size limits and a supported format.

NEW QUESTION # 69

An ML Engineer has developed a custom PyTorch model for GPU-powered inference and successfully built an OCI-compliant image locally. They now need to push this image to a Snowflake image repository and configure a Snowpark Container Service to use it. The Snowflake account identifier is `my_org_name_my_account_id_prod`. Which set of commands correctly demonstrates tagging the local image and pushing it to the repository?

```
☐ Tag command:
docker tag my_pytorch_model:latest my_org_name-my_account_id_prod.registry.snowflakecomputing.com/my_db/my_schema/my_repo/pytorch_model:latest

☐ Push command:
docker push my_org_name-my_account_id_prod.registry.snowflakecomputing.com/my_db/my_schema/my_repo/pytorch_model:latest

☐ Service specification YAML snippet for image:
spec:
  container:
    - name: pytorch_inference
      image: my_org_name-my_account_id_prod.registry.snowflakecomputing.com/my_db/my_schema/my_repo/pytorch_model:latest

☐ Verification command:
CALL SYSTEM$REGISTRY_LIST_IMAGES('my_db.my_schema.my_repo');

☐ The correct way to refer to the image in the service specification is via its direct registry path, prefixed with snowflake-registry:// scheme.
```

- A. Option D
- B. Option C
- C. Option B
- D. Option E
- E. Option A

Answer: C,E

Explanation:

Option A is correct because when tagging an image for a Snowflake repository, any underscore () in the account identifier must be replaced with a dash (-) in the registry URL. The provided account identifier `my_org_name_my_account_id_prod` correctly transforms to `my_org_name-my_account_id_prod` in the tag command. Option B is correct because the push command uses the same fully qualified image name, uploading the image to the specified Snowflake image repository. Option C is incorrect as the image path in the YAML snippet still uses `my_account_id_prod` with an underscore in the account identifier, which is not the correct format for the Snowflake registry URL. Option D is incorrect because the `SYSTEM$REGISTRY_LIST_IMAGES` function expects a stage-like path as a string literal (e.g., `'/db/schema/repo'`), not a dot-separated identifier. Option E is incorrect because the sources do not mention a `snowflake-registry://` scheme; images are referenced directly by their full registry path.

NEW QUESTION # 70

A company is developing a RAG application to provide concise and highly relevant answers to user queries from a vast knowledge base of technical documents. They are using Cortex Search for retrieval and are considering different embedding models and text chunking strategies to optimise the system. Which of the following statements about Cortex Search embedding models and RAG best practices are correct? (Select all that apply)

- A. The 'voyage-multilingual-2' model is suitable for multilingual documents and has a significantly larger context window (32000 tokens) compared to 'snowflake-arctic-embed-l-v2.0' (512 tokens), making it more robust for longer text inputs.
- B. The

```
SELECT SNOWFLAKE.CORTEX.COUNT_TOKENS('snowflake-arctic-embed-m', '') AS token_count;
```

- C. For optimal RAG retrieval quality with Cortex Search, it is recommended to split text into chunks of no more than 512 tokens, even when using models with larger context windows like 'snowflake-arctic-embed-l-v2.0-8k'.
- D. The cost for embedding models in Cortex Search, such as 'snowflake-arctic-embed-l-v2.0' and 'e5-base-v2', is incurred based on both input and output tokens.
- E. Using the 'snowflake-arctic-embed-l-v2.0-8k' model, which has an 8192-token context window, allows processing entire large technical documents as a single chunk for embedding, leading to better RAG results by preserving full document context.

Answer: A,B,C

Explanation:

Option A is incorrect. While 'snowflake-arctic-embed-l-v2.0-8k' has a larger context window, Snowflake explicitly recommends splitting text into chunks of no more than 512 tokens for optimal RAG retrieval quality. This practice typically results in higher retrieval and downstream LLM response quality, even for models with larger context windows. Option B is correct. The 'voyage-multilingual-2' model has a context window of 32000 tokens, while 'snowflake-arctic-embed-l-v2.0' has a 512-token context window. Both are multilingual embedding models. Option C is correct. For best search results with Cortex Search, Snowflake recommends splitting the text in your search column into chunks of no more than 512 tokens. Option D is incorrect. For 'EMBED TEXT' functions, only 'input tokens' are counted towards the billable total, not output tokens. Option E is correct. The 'SNOWFLAKE.CORTEX.COUNT_TOKENS' function can be used to calculate the exact number of tokens in a string for a specified model, which is useful for managing context window limits and understanding cost implications.

NEW QUESTION # 71

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