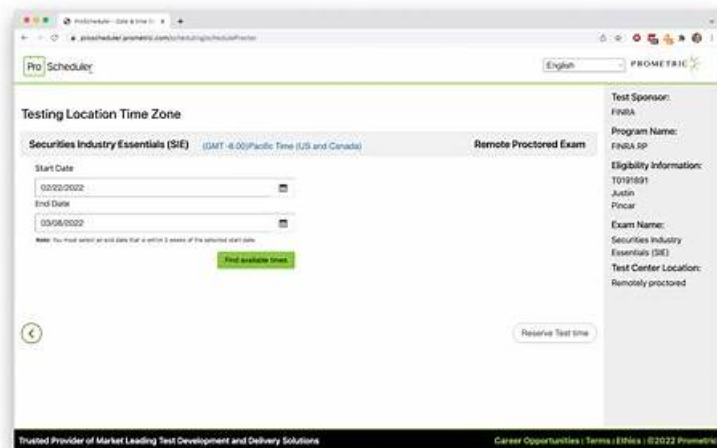


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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	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	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.

Topic 3	• 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.
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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q134-Q139):

NEW QUESTION # 134

A customer wants to establish an account for the benefit of his grandchildren. He states to his registered representative that he wants to be able to control the distribution of the assets and direct how the account will be invested. Which of the following account types is most appropriate?

- A. Certificate of deposit (CD)
- B. UTMA
- C. 529 savings plan
- **D. Trust**

Answer: D

Explanation:

Step by Step Explanation:

* Trust Accounts: Provide the account owner (trustee) full control over distributions and investment decisions. Suitable for complex estate planning needs.

* Incorrect Options:

* UTMA: Transfers control to the minor upon reaching the age of majority.

* 529 Plan: Used for educational savings, with limited control over distributions.

* CD: A fixed-term deposit, not an account type for managing distributions.

References:

* SEC and FINRA Guidelines on Trusts: FINRA Trust Accounts.

NEW QUESTION # 135

A grandfather establishes a Uniform Transfers to Minors Act (UTMA) custodial account for his grandson and appoints an attorney as custodian. Which of the following individuals owns the account?

- A. Attorney
- B. Grandson's parent
- **C. Grandson**
- D. Grandfather

Answer: C

Explanation:

In a UTMA account, the minor is the legal owner of the account. The custodian (in this case, the attorney) manages the account until the minor reaches the age of majority specified by state law.

* C is correct because the grandson (the minor) is the account's legal owner.

* A is incorrect because the attorney is the custodian, not the owner.

* B is incorrect because the grandfather established the account but does not own it.

* D is incorrect because the parent does not have ownership unless explicitly named as the custodian.

NEW QUESTION # 136

The formation of an asset-backed security or debt obligation that represents a claim on the cash flows from mortgage loans is known as:

- **A. Securitization**

- B. Claim processing
- C. Loan processing
- D. Hypothecation

Answer: A

Explanation:

Step by Step Explanation:

* Securitization: The process of pooling financial assets, such as mortgage loans, and creating asset-backed securities that investors can buy.

* Incorrect Options:

* B: Hypothecation refers to pledging assets as collateral.

* C & D: Loan and claim processing are administrative terms, not related to the creation of securities.

References:

* SEC Guidance on Asset-Backed Securities: SEC ABS Info.

NEW QUESTION # 137

Which of the following terms describes an offer to purchase some or all shareholders' shares in a corporation, usually at a premium to the market price?

- A. Stock split
- **B. Tender**
- C. Redemption
- D. Class action

Answer: B

Explanation:

Step by Step Explanation:

* Tender Offer Definition: A tender offer is an offer to purchase a certain number of shares from shareholders, typically at a price above the current market value. This is often part of mergers, acquisitions, or corporate takeovers.

* Stock Split: A stock split increases the number of shares but decreases the price per share without affecting the total value of an investor's holdings.

* Redemption: Redemption refers to the repayment of a bond or preferred stock at maturity or at a predetermined date.

* Class Action: A class action is a lawsuit filed by a group of people with similar grievances.

References:

* SEC Rule 14e on tender offers: SEC Tender Offers.

NEW QUESTION # 138

Which of the following account registration types is subject to probate upon the death of the account owner?

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

Answer: A

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 correct because individual accounts require probate to transfer assets.

* B is incorrect because irrevocable trusts bypass probate.

* C is incorrect because TOD accounts allow direct transfer of assets to named beneficiaries without probate.

* D is incorrect because JTWROS accounts transfer ownership to the surviving account holder automatically.

NEW QUESTION # 139

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