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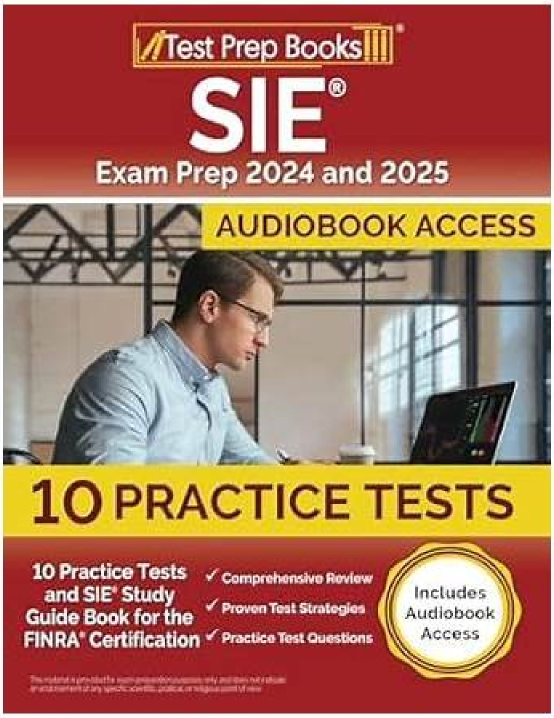

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The reason behind our confidence is the hard work of our professionals. We have hired a team who analyze past papers, FINRA Securities Industry Essentials Exam (SIE) Exam examination syllabus and add the most probable FINRA SIE exam questions in three easy-to-use formats. These formats include SIE Pdf Dumps file, web-based Securities Industry Essentials Exam (SIE) practice test, and desktop practice exam software. Keep reading to find the specifications of our SIE exam practice material's three formats.

FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	• 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 2	• 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 3	• 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.

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Our SIE PDF format is user-friendly and accessible on any smart device, allowing applicants to study from anywhere at any time. We have included actual and updated FINRA SIE Questions in this SIE Dumps PDF file. Our Securities Industry Essentials Exam (SIE) exam dumps PDF format is designed to help individuals acquire the knowledge necessary to succeed in the test.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q73-Q78):

NEW QUESTION # 73
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 buy order for 1,000 shares at $39.10
- B. A buy order for 2,000 shares at $39.15
- C. A sell stop order for 500 shares at $39.00
- D. A sell order for 300 shares at $39.05

Answer: B

Explanation:
The quote indicates that the market maker is willing to buy 500 shares at $39.05 (bid) and sell 1,000 shares at $39.15 (ask). Market makers are required to honor their quoted size for orders that fall within their bid/ask prices.
* D is correctbecause the market maker is obligated to sell at least 1,000 shares at $39.15 as it falls within the quoted size and price.
* Bis incorrect because the bid is at $39.05, not $39.00.
* Cis incorrect because $39.10 does not match the ask price.
* Ais invalid as a stop order would not activate at $39.00.

NEW QUESTION # 74
A rating agency downgrades a corporation's credit rating. Which of the following effects is this action most likely to have on the yield and price of the corporation's outstanding bonds?

- A. Yield will rise; price will rise.
- B. Yield will fall; price will rise.
- C. Yield will fall; price will fall.
- D. Yield will rise; price will fall.

Answer: D

Explanation:
Step by Step Explanation:
* Credit Downgrade: Increases perceived risk, causing bond prices to drop and yields to rise.
* Yield-Price Relationship: Yields move inversely to bond prices. Lower prices lead to higher yields as investors demand more return for increased risk.
References:
* SEC Guidance on Bond Ratings: SEC Bond Ratings.

NEW QUESTION # 75
A customer has a stock position that has increased in value since the time he purchased it. Which of the following terms describes his current situation?

- A. Operating profit
- B. Interest income
- C. Unrealized gain
- D. Out of the money

Answer: C

Explanation:
An unrealized gain occurs when the value of an asset increases but has not yet been sold. If the customer sells the stock, the unrealized gain becomes a realized gain.
* B is correctbecause the increase in value without selling the stock is an unrealized gain.
* Ais incorrect because interest income refers to earnings from fixed-income securities.
* Cis incorrect because operating profit relates to a company's earnings, not an investor's portfolio.
* Dis incorrect because "out of the money" is a term used for options, not stocks.

NEW QUESTION # 76
A registered representative (RR) intends to enter into an arrangement for compensation with an unaffiliated entity to participate in the sale of promissory notes to the general public. Which of the following statements is true?

- A. The RR is not required to provide prior notice to his firm as promissory notes are not considered securities.
- B. The RR must receive written approval from his firm prior to entering into this arrangement.
- C. This is a permissible arrangement, and the RR is only required to notify his firm.
- D. The RR is required to notify his firm regarding this arrangement if compensation received is directly related to transactions.

Answer: B

Explanation:
Step by Step Explanation:
* Private Securities Transactions: Under FINRA Rule 3280, RRs must obtain written approval from their employing firm before participating in the sale of securities outside the firm.
* Promissory Notes: These are typically considered securities, requiring prior approval.
* Incorrect Options:
* A & C: Notification alone is insufficient; written approval is required.
* D: Promissory notes are generally treated as securities under federal law.
References:
* FINRA Rule 3280 (Private Securities Transactions): FINRA Rule 3280.

NEW QUESTION # 77
How long are unused funds permitted to remain in a Coverdell education savings account?

- A. All funds must be distributed when the beneficiary's age reaches 30 years old.
- B. There is no age limit preventing funds from remaining in a beneficiary's account.
- C. All funds must be distributed when the beneficiary's age reaches 21 years old.
- D. All funds must be distributed when the beneficiary's age reaches 59 ½ years old.

Answer: A

Explanation:
Coverdell Education Savings Accounts (ESAs) require that all funds be distributed by the time the beneficiary reaches 30 years old. If the funds are not used for qualified educational expenses, they may be subject to taxes and penalties.
* B is correctbecause funds must be distributed by age 30 unless transferred to another eligible family member.
* Ais incorrect as age 21 is not relevant for Coverdell ESAs.
* Cis incorrect because age 59 ½ applies to retirement accounts like IRAs.
* Dis incorrect because there is a distribution deadline for Coverdell accounts.

NEW QUESTION # 78

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