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## FINRA SIE Exam Syllabus Topics:

| Topic   | Details  |
|---------|--|
| Topic 1 | <ul style="list-style-type: none"> <li>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.</li> </ul> |
| Topic 2 | <ul style="list-style-type: none"> <li>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.</li> </ul>  |
| Topic 3 | <ul style="list-style-type: none"> <li>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.</li> </ul>  |
| Topic 4 | <ul style="list-style-type: none"> <li>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.</li> </ul>             |

## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q105-Q110):

### NEW QUESTION # 105

Publicly traded limited partnership interests are typically considered:

- A. Equity securities
- B. Derivative investments
- C. Mutual funds
- D. Fixed-income securities

**Answer: A**

Explanation:

Step by Step Explanation:

\* Publicly Traded Limited Partnerships (PTPs): Represent ownership stakes, which categorize them as equity securities. PTPs often involve sectors like real estate or energy.

\* Incorrect Options:

\* A: Mutual funds are pooled investment vehicles, not partnerships.

\* C: Fixed-income securities are debt instruments like bonds.

\* D: Derivatives include options or futures, not ownership stakes.

References:

\* SEC Guidance on Publicly Traded Partnerships: SEC PTPs.

### NEW QUESTION # 106

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

**Answer: A**

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 × 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 # 107

Which of the following responses best describes the primary strategy that an investor uses when selling a covered call?

- A. Income generation
- B. Profit guarantee
- C. Hedging
- D. Speculation

**Answer: A**

Explanation:

A covered call involves selling a call option on a stock the investor already owns. The strategy generates income in the form of the premium collected for selling the call, providing additional returns on the stock position.

- \* D is correct because the primary goal of a covered call is to generate income.
- \* A is incorrect because covered calls do not hedge against large declines in the stock price.
- \* B is incorrect because speculation involves taking higher risks, not a covered call's conservative strategy.
- \* C is incorrect because no strategy guarantees a profit.

#### NEW QUESTION # 108

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

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

**Answer: B**

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 # 109

Under which of the following circumstances, if any, is a member firm permitted to send gifts to registered representatives (RRs) of another member firm?

- A. No single gift exceeds \$100; no limit on the number of gifts
- B. Under no circumstance
- C. Value of all gifts to an RR during a period of one year does not exceed \$100
- D. No single gift exceeds \$100; maximum value of all gifts per RR per year is \$200

**Answer: C**

Explanation:

FINRA Rule 3220 prohibits member firms from giving gifts exceeding \$100 per individual per year to ensure that gifts do not influence business conduct. The rule applies to gifts given in connection with the firm's business.

\* C is correct because it adheres to FINRA's \$100 annual limit.

\* Ais incorrect because the total value of gifts must also not exceed \$100 annually.

\* Bis incorrect as there is no \$200 limit.

\* Dis incorrect as gifts are allowed within the \$100 limit.

### NEW QUESTION # 110

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