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FINANCE STRATEGISTS

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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.
Topic 3	<ul style="list-style-type: none"> 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 4	<ul style="list-style-type: none"> • 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.
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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q12-Q17):

NEW QUESTION # 12

Offering 403(b) tax-sheltered annuity accounts to which of the following groups is permissible?

- A. Small business owners
- B. Volunteer workers
- C. Employees of a nonprofit hospital
- D. Active duty military personnel

Answer: C

Explanation:

Step by Step Explanation:

* 403(b) Accounts: These tax-advantaged retirement plans are specifically for employees of public schools, tax-exempt organizations, and certain other nonprofit employers, such as hospitals.

* Incorrect Options:

* Volunteer Workers: Ineligible unless they are also employees.

* Small Business Owners and Military Personnel: These groups typically qualify for other retirement plans, not 403(b).

References:

* IRS Publication 571 (403(b) Plans): IRS 403(b) Guidance.

NEW QUESTION # 13

Publicly traded limited partnership interests are typically considered:

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

Answer: B

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 # 14

Which of the following responses describes a common feature of a hedge fund?

- A. Transparent as to the underlying investments and strategies
- B. Primarily focused on fixed income investments
- C. Low liquidity for investors
- D. Low minimum investment requirement

Answer: C

Explanation:

Step by Step Explanation:

* Low Liquidity: Hedge funds often impose lock-up periods and restrict redemptions, leading to low liquidity for investors.

* Incorrect Options:

* B: Hedge funds typically have high minimum investment requirements, often \$1 million or more.

* C: Hedge funds employ diverse strategies, not just fixed income.

* D: Hedge funds are generally opaque about their strategies and holdings to protect their competitive advantage.

References:

* SEC Investor Bulletin on Hedge Funds: SEC Hedge Funds.

NEW QUESTION # 15

A registered representative wants to open an account for himself at a different financial institution. Under FINRA rules, which of the following accounts requires prior written consent from his employing broker-dealer?

- A. A 529 savings plan account established for his grandchild
- B. Variable contracts registered under the Investment Company Act
- C. Mutual fund accounts held directly with the fund company
- D. An investment advisory account in which securities transactions are effected

Answer: D

Explanation:

Step by Step Explanation:

* FINRA Rule 3210: Requires registered representatives to obtain written consent from their employing broker-dealer before opening accounts at other financial institutions if securities transactions will occur.

* Incorrect Options:

* A, B, and C: These accounts are exempt because they do not involve direct securities transactions requiring monitoring.

References:

* FINRA Rule 3210 (Accounts at Other Institutions): FINRA Rule 3210.

NEW QUESTION # 16

An investor buys 100 shares of a stock at \$50.00 per share. The company declares a 10% stock dividend.

What will the investor's cost basis per share be following the payment of the dividend?

- A. \$45.45
- B. \$50.50
- C. \$45.00
- D. \$50.00

Answer: A

Explanation:

A stock dividend increases the number of shares owned without affecting the total cost basis. The new cost basis per share is calculated by dividing the original total investment by the new number of shares:

* Original total investment = 100 shares × \$50.00 = \$5,000

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