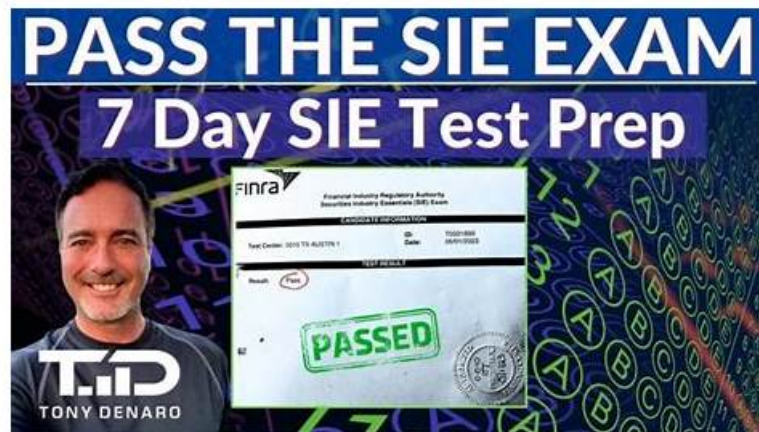


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## FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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>
Topic 2	<ul style="list-style-type: none"><li>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.</li></ul>
Topic 3	<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 4	<ul style="list-style-type: none"><li>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.</li></ul>
Topic 5	<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>

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### FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q134-Q139):

#### NEW QUESTION # 134

A registered representative who is terminated from a broker-dealer must notify FINRA of a residential address change for what period of time after termination?

- A. Two years
- B. Three years
- C. Six years
- D. One year

**Answer: A**

Explanation:

Step by Step Explanation:

\* FINRA Rule 1122: Requires that registered representatives update their residential address with FINRA for two years post-termination.

\* Purpose: This ensures accurate records for potential regulatory inquiries during the statutory two-year period when a terminated individual remains subject to FINRA's jurisdiction.

References:

\* FINRA Rule 1122 (Filing False or Misleading Information): FINRA Rule 1122.

#### NEW QUESTION # 135

Which of the following events requires reporting on a Form U4?

- A. A bench warrant for missing a court date
- B. A felony conviction for drunk driving
- C. A misdemeanor speeding ticket
- D. A gross-misdemeanor domestic assault conviction

**Answer: B**

Explanation:

Form U4 (Uniform Application for Securities Industry Registration or Transfer) requires disclosure of any felony convictions, regardless of whether they are securities-related. A felony conviction for drunk driving falls under this requirement.

\* B is correct because a felony conviction must be reported on Form U4.

\* A is incorrect as misdemeanor speeding tickets do not require disclosure unless they involve fraud, theft, or dishonesty.

\* C is incorrect as bench warrants are not reportable unless they lead to a conviction.

\* D is incorrect because gross misdemeanors (except those involving fraud or dishonesty) do not require reporting.

#### NEW QUESTION # 136

A registered representative (RR) has a referral relationship with a family friend who is not affiliated with the financial industry. In the absence of a formal agreement, which of the following ways is the RR permitted to compensate the family friend for referrals?

- A. The RR is permitted to give the family friend prepaid credit cards equal to 50% of the commissions earned on the referrals.

- B. The RR is permitted to take the family friend out to dinner as a way to say thank you.
- C. The RR is permitted to pay a flat-rate referral fee to the family friend.
- D. The RR is permitted to split commissions with the family friend.

**Answer: B**

Explanation:

FINRA prohibits the payment of referral fees or splitting of commissions with individuals who are not registered with a broker-dealer. However, taking a friend out to dinner as a gesture of gratitude is allowed, as it does not involve cash or monetary compensation directly tied to the referral.

- \* C is correct because non-monetary expressions of gratitude (like a dinner) are permitted under FINRA rules.
- \* A is incorrect because commission splitting with unregistered individuals is prohibited.
- \* B is incorrect because paying referral fees is also prohibited without registration.
- \* D is incorrect because giving prepaid credit cards tied to commission income violates compensation rules.

### NEW QUESTION # 137

Which of the following statements is true with regard to SIPC and FDIC?

- A. Money market mutual funds are covered by the FDIC and are not covered by SIPC.
- B. SIPC protects brokerage accounts, and FDIC protects bank deposits.
- C. SIPC coverage is only for securities, and FDIC coverage is only for cash.
- D. Securities held at broker-dealers are covered by the FDIC and are not covered by SIPC.

**Answer: B**

Explanation:

Step by Step Explanation:

- \* SIPC Coverage: Protects customers of brokerage firms against the loss of securities and cash due to broker-dealer insolvency, but it does not protect against market losses.
- \* FDIC Coverage: Protects bank deposits (checking, savings, CDs) up to \$250,000 per depositor, per institution.
- \* Incorrect Options:
- \* A: SIPC covers both securities and cash held at brokerage firms (within limits).
- \* C & D: Money market mutual funds are not FDIC insured, and securities are not covered by the FDIC.

References:

- \* SIPC Overview: SIPC Coverage.
- \* FDIC Insurance: FDIC Coverage.

### NEW QUESTION # 138

A hypothecation agreement gives the broker-dealer the right to engage in which of the following activities?

- A. Sharing customers' nonpublic personal information with nonaffiliated third parties
- B. Entering trades in a customer's account without prior authorization from the customer
- C. Selling a customer's securities when the customer has failed to pay for trades in a cash account
- D. Using securities that a customer has bought on margin as collateral to obtain a loan from a bank

**Answer: D**

Explanation:

Step by Step Explanation:

- \* Hypothecation Agreement: Required for margin accounts, it authorizes the broker-dealer to use the customer's margin securities as collateral to secure loans for funding customer transactions.
- \* Incorrect Options:
- \* A: Sharing customer information is regulated under privacy rules (Regulation S-P).
- \* B: Unauthorized trading violates securities laws.
- \* C: Selling unpaid securities in cash accounts pertains to Regulation T, not hypothecation agreements.

References:

- \* FINRA Margin Account Rules: FINRA Rule 4210.

## NEW QUESTION # 139

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