

# SIE Valid Exam Pattern & Valid SIE Practice Questions

## SIE EXAM OUTLINE

The SIE Exam covers several financial sector topics. The test is broadly organized across four sections and major subjects.

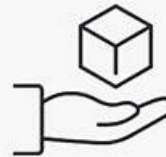


### CAPITAL MARKETS

Percentage of Exam: 16%  
Number of Questions: 12

### UNDERSTANDING PRODUCTS & RISKS

Percentage of Exam: 44%  
Number of Questions: 33



### TRADING, CUSTOMER ACCOUNTS, & PROHIBITED ACTIVITIES

Percentage of Exam: 31%  
Number of Questions: 23

### REGULATORY FRAMEWORK

Percentage of Exam: 9%  
Number of Questions: 7



The SIE exam was created in an attempt to remove duplicate information that was on other exams. One big plus of the creation of the SIE exam is that candidates no longer have to be associated with a FINRA member firm to take the SIE exam.

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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>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 3 | <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 4 | <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 5 | <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>                                                                       |

>>> SIE Valid Exam Pattern <<<

## Valid FINRA SIE Practice Questions, SIE Study Dumps

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q144-

## Q149):

### NEW QUESTION # 144

On settlement date, a customer is unable to pay for a purchase in his cash account. His position is liquidated. Which of the following statements is true according to Federal Reserve Regulation T?

- A. The customer's account is frozen for 90 days.
- B. The customer is barred from trading for 30 days.
- C. All related accounts are frozen for 90 days.
- D. Only closing transactions are permitted.

**Answer: A**

Explanation:

Federal Reserve Regulation T mandates that customers must pay for purchases in a cash account within two business days of settlement (T+4). If payment is not made, the brokerage firm must liquidate the securities and place the account on a 90-day restriction.

- \* C is correct because the customer's account is frozen for 90 days, during which all trades must be paid for in advance.
- \* A is incorrect as closing transactions are still permitted but require prepayment.
- \* B is incorrect because the restriction lasts for 90 days, not 30.
- \* D is incorrect as only the delinquent account, not related accounts, is frozen.

### NEW QUESTION # 145

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

**Answer: D**

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 # 146

If an investor is bullish on ABC, which of the following actions will he most likely take?

- A. Buy ABC stock
- B. Sell ABC stock short
- C. Sell ABC calls
- D. Buy ABC puts

**Answer: A**

Explanation:

Step by Step Explanation:

- \* Bullish Position: Buying ABC stock aligns with the expectation that the stock's price will rise, allowing the investor to profit.
- \* Incorrect Options:
- \* A: Buying puts is a bearish strategy.

- \* C: Selling calls benefits from stable or declining prices.
- \* D: Selling short is a bearish strategy anticipating a price drop.

References:

- \* FINRA Guidance on Market Strategies: FINRA Trading Basics.

#### NEW QUESTION # 147

What is the sales load of an open-end investment company with a net asset value (NAV) of \$14.35 and a public offering price (POP) of \$15.50?

- **A. 8.50%**
- B. 7.40%
- C. 8.00%
- D. 9.25%

**Answer: A**

Explanation:

The sales load is calculated as a percentage of the POP, using the formula:  $\text{Sales load} = (\text{POP} - \text{NAV}) \div \text{POP} \times 100$

\*  $\text{POP} = \$15.50$ ,  $\text{NAV} = \$14.35$ .

\*  $\text{Sales load} = (\$15.50 - \$14.35) \div \$15.50 \times 100 = 8.50\%$ .

\* C is correct because the calculation results in an 8.50% load.

\* A, B, and D are incorrect due to incorrect calculations.

#### NEW QUESTION # 148

In performing fundamental analysis of an equity, which of the following elements should an investor consider?

- A. Moving average
- **B. Financial statements**
- C. Chart patterns
- D. Resistance and support levels

**Answer: B**

Explanation:

Fundamental analysis focuses on evaluating a company's financial health and potential for growth by analyzing its financial statements, such as the income statement, balance sheet, and cash flow statement.

\* C is correct because financial statements provide the data necessary for fundamental analysis.

\* A and B are incorrect because chart patterns and moving averages are tools of technical analysis, not fundamental analysis.

\* D is incorrect because resistance and support levels are also part of technical analysis.

#### NEW QUESTION # 149

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