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## FINRA SIE Exam Syllabus Topics:

Topic	Details

Topic 1	<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 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>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 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>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>

## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q54-Q59):

### NEW QUESTION # 54

Before an affiliate of an issuer is permitted to sell 10,000 shares of restricted securities, which of the following conditions must be met?

- A. The company must be traded on a listed stock exchange.
- B. The affiliate must have a holding period of six months.**
- C. The shares to be sold must be less than 10% of the average daily trading volume (ADTV) of the security.
- D. The issuer must notify FINRA of the proposed sale by submitting a Form 144.

### Answer: B

Explanation:

Step by Step Explanation:

\* Rule 144 Holding Period: Restricted securities held by affiliates require a six-month holding period before sale, provided the issuer is subject to SEC reporting requirements.

\* Other Options:

\* Notification to FINRA (C) is incorrect; Form 144 is submitted to the SEC, not FINRA.

\* The 10% ADTV limitation (D) applies to the volume of shares sold, not the conditions for sale.

References:

\* SEC Rule 144 (Selling Restricted Securities): SEC Rule 144.

### NEW QUESTION # 55

Which of the following listed securities carries voting rights?

- A. Convertible bond

- B. Preferred stock
- **C. Common stock**
- D. Corporate bond

**Answer: C**

Explanation:

Step by Step Explanation:

\* Common Stock: Holders of common stock typically have voting rights, which allow them to participate in decisions like electing the board of directors or approving major corporate actions.

\* Other Securities:

\* Preferred Stock: Usually does not carry voting rights.

\* Corporate and Convertible Bonds: Debt instruments, so they do not confer voting rights.

References:

\* SEC Guide on Stock Voting Rights: SEC Voting Rights.

**NEW QUESTION # 56**

Which of the following characteristics best describes a benefit of a variable annuity subaccount?

- A. The account is held at a broker-dealer that is separate from the insurance company, thereby allowing tax-deferred investments in all types of securities products.
- B. The account represents the indebtedness of the insurance company that is subordinated to the claims of general creditors and, therefore, offers investors a higher rate of return.
- C. The account is managed by a third-party custodian and is, therefore, subject to lower management fees than those charged by the insurance company.
- **D. The account is held separately from the insurance company's general account and, therefore, is protected from the claims of general creditors of the insurance company.**

**Answer: D**

Explanation:

Variable annuity subaccounts are held in separate accounts, distinct from the insurance company's general account. This separation protects subaccount assets from claims by creditors in case the insurance company becomes insolvent.

\* C is correct because the separate account ensures creditor protection.

\* A is incorrect as management fees for variable annuities are often higher.

\* B is incorrect because the subaccounts are not held at broker-dealers.

\* D is incorrect as subaccounts do not represent subordinated debt.

**NEW QUESTION # 57**

Pursuant to the Securities Act of 1933, registration is required for which of the following securities?

- **A. Open-end investment companies**
- B. U.S. government issues
- C. Municipal securities
- D. Private placements

**Answer: A**

Explanation:

The Securities Act of 1933 requires securities offered to the public to be registered with the SEC unless they qualify for an exemption. Open-end investment companies (mutual funds) are not exempt and must register.

\* D is correct because mutual funds are publicly offered and require registration.

\* A is incorrect because private placements are exempt under Regulation D.

\* B is incorrect because municipal securities are exempt under Section 3(a)(2).

\* C is incorrect because U.S. government securities are also exempt under Section 3(a)(2).

**NEW QUESTION # 58**

The civil penalty for an individual who is convicted of an insider trading violation is permitted to be an amount up to how many times

the profit gained or loss avoided?

- A. 10 times
- B. 6 times
- C. 1 time
- D. 3 times

**Answer: D**

Explanation:

Under the Insider Trading and Securities Fraud Enforcement Act of 1988, the SEC may impose a civil penalty of up to three times the profit gained or loss avoided (referred to as "treble damages") on individuals found guilty of insider trading.

\* B is correct because treble damages equal three times the profit or avoided loss.

\* A is incorrect because the penalty is not limited to one time the profit.

\* C and D are incorrect because the penalty is capped at three times, not six or ten times.

## NEW QUESTION # 59

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