

FINRA SIE

**FINRA SECURITIES INDUSTRY ESSENTIALS CERTIFICATION
QUESTIONS & ANSWERS**

Details of the Exam-Syllabus-Questions

SIE

FINRA Securities Industry Essentials (SIE)

75 Questions Exam – 70% Cut Score – Duration of 105 minutes

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Get an Overview of the SIE Certification:

Who should take the [SIE exam](#)? This is the first question that comes to a candidate's mind when preparing for the Securities Industry Essentials certification. The SIE certification is suitable for candidates who are keen to earn knowledge on the Securities Industry Essentials Exam (SIE) and grab their FINRA Securities Industry Essentials (SIE). When it is about starting the preparation, most candidates get confused regarding the study materials and study approach. But SIE study guide PDF is here to solve the problem. SIE PDF combines some effective sample questions and offers valuable tips to pass the exam with ease.

Why Should You Earn the FINRA SIE Certification?

There are several reasons why one should grab the SIE certification.

- The Securities Industry Essentials certification proves to be one of the most recognized certifications.
- The certification badge proves the knowledge of the candidate regarding subject matters and makes his resume presentable to potential candidates.
- Thus earning the [FINRA Securities Industry Essentials \(SIE\)](#) is a powerful qualification for a prosperous career.

What Is the FINRA SIE Securities Industry Essentials Certification Exam Structure?

Exam Name	FINRA Securities Industry Essentials
Exam Code	SIE
Exam Fee	USD \$100
Exam Duration	105 Minutes
Number of Questions	75
Passing Score	70%
Format	Multiple Choice Questions
Schedule Exam	Prometric
Sample Questions	FINRA Securities Industry Essentials Exam Sample Questions and Answers
Practice Exam	FINRA Securities Industry Essentials (SIE) Practice Test

Enhance Knowledge with SIE Sample Questions:

Question: 1

A registered representative (RR) wants to participate in a private securities transaction. Which of the following actions must the RR take?

- a) Send written notice to his supervisor outlining the activity and compensation structure
- b) Initiate the paperwork required by the policies of the firm once the activity has begun
- c) Call his supervisor and inform her of the deal and the RR's potential involvement
- d) Request a meeting with his supervisor to lay out the structure of the deal

Answer: a

Question: 2

Company ABC announces a 20% stock dividend for its common shareholders. If a customer holds 1,000 shares at \$50.00, what is the new price and number of shares following the payment of the stock dividend?

- a) 800 shares at \$62.50
- b) 1,000 shares at \$41.67
- c) 1,200 shares at \$41.67
- d) 1,200 shares at \$50.00

Answer: c

Question: 3

Under FINRA rules, which of the following activities by a registered representative requires written notification to her firm?

- a) Volunteering as a youth soccer league coach
- b) Gambling resulting in winnings in excess of \$10,000
- c) Driving part time for a transportation network company on weekends
- d) Selling nonproprietary investment company securities products through her firm

Answer: c

Question: 4

Which of the following investments are generally traded according to their average life rather than their stated maturity dates?

- a) Fixed-rate capital securities
- b) Government bonds
- c) Corporate bonds
- d) Asset-backed securities

Answer: d

Question: 5

Which of the following products is adversely impacted if the issuer's credit rating is downgraded?

- a) Mutual funds
- b) Unit investment trusts (UITs)
- c) Exchange-traded funds (ETFs)
- d) Exchange-traded notes (ETNs)

Answer: d

Question: 6

Which of the following security types provides investors with a stated maturity date, a floating interest rate, and an option to put the security back to a financial intermediary on a daily or weekly basis?

- a) Equity put option
- b) Perpetual preferred stock
- c) Variable rate demand note
- d) Tax-deferred variable annuity

Answer: c

Question: 7

If a market maker posts a quote of 10.00 - 10.10 [25x10], which of the following actions is the market maker willing to take?

- a) Sell 1,000 shares at \$10.00 and buy 2,500 shares at \$10.10
- b) Buy 2,500 shares at \$10.00 and sell 1,000 shares at \$10.10
- c) Sell 100 shares at \$10.00 and buy 250 shares at \$10.10
- d) Buy 250 shares at \$10.00 and sell 100 shares at \$10.10

Answer: b**Question: 8**

At the time of issuance, which of the following securities normally has the longest period to expiration?

- a) Repurchase agreements
- b) Warrants
- c) Options
- d) Rights

Answer: b**Question: 9**

The owner of which of the following products is most exposed to inflationary risk?

- a) Utility stocks
- b) Treasury bills
- c) Treasury bonds
- d) Blue chip industrials

Answer: c**Question: 10**

The computation of dollar prices and accrued interest on municipal bonds is normally on what calendar basis?

- a) 30/360
- b) 30/365
- c) Actual/360
- d) Actual/365

Answer: a

What Study Guide Works Best in Acing the FINRA SIE Securities Industry Essentials Certification?

The SIE study guide is a combination of some proven study tips and the combination of all valuable study materials like sample questions, syllabus and practice tests in one place.

Explore the Syllabus Topics and Learn from the Core:

If you are determined to earn success in the Securities Industry Essentials exam, getting in full touch of the [syllabus](#) is mandatory. During preparation, you might not like all syllabus sections or topics, but try to get at least the fundamental knowledge from the sections you don't like. The more you possess knowledge on all syllabus sections, the more is the chance to attempt maximum number of questions during the actual exam.

Make Your Schedule:

Studying and completing the syllabus becomes easier, if you work on the syllabus topics after making a schedule. Your syllabus must mention what areas you want to cover and within what time. Once you make a schedule and follow it regularly, syllabus completion becomes easier and preparation becomes smoother.

Get Expert Advice from the Training:

Do not forget to join the FINRA SIE training if it is providing any. Training enhances the practical knowledge of a candidate, which helps them to work well in the practical field during projects.

Get Access to the PDF Sample Questions:

If your study material is in a [PDF format](#) or the materials are mobile-friendly, what could be better than that? Get access to the free sample questions and keep enhancing your knowledge beyond the syllabus.

Avoid Dumps and Utilize the FINRA SIE Practice Test:

Why should you rely on practice tests? The reason is simple: you must get familiar with the exam pattern before reaching the exam hall. An aspirant aware of the exam structure and time management during the exam preparation can perform well in the actual exam and attempt the maximum number of questions during the exam.

Many aspirants prefer to read from dumps, but they miss out on the self assessment method. Therefore, SIE practice tests always stand out to be the better choice than dumps PDF.

Avail the Proven SIE Practice Test for Success!!!

Do you want to pass the SIE exam on your first attempt? Stop worrying; we, ProcessExam.com are here to provide you the best experience during your FINRA Securities Industry Essentials preparation. Try out our free mock tests to get a glimpse of our quality study materials, and build your confidence with the premium [SIE practice tests](#). Our expert-designed questions help you to improve performance and pass the exam on your first attempt.