Sie Cheat Sheet

Career Employer

Securities Industry Essentials (SIE) Exam Cheat Sheet communications networks (ECNs)
between institutions

roker-dealer types

Cumulative: if dividends are in arears they, along with current preferred dividends will be paid out before common stock investors receive theirs Knowledge of Capital Markets Capital market types Broker-dealer types Primary markets are where capital is raised by issuers of securities selling them Carrying (clearing) firm: These BDs carry the accounts of their customers. Both funds and securities are accepted

- Callable: At a specified gale, the issuer can buy back shares.

- Participation: Dividends may be. Introducing (fully disclosed) firm:
Brings the clearing firm to the customer and introduces them
Prime 8D: This Amount out. The insurer of buy back shares
Participating: Dividends may be paid in excess of the stated amount out. Secondary markets involve transactions among investors Public securities offering: Publicly Prime BD: This type of BD holds traded securities and carries custody of securities and carries c bottoch tremyee of BD holds
bes and carries out
it execution services
yother BDs.

Rights and warrants:
Rights: Short-term, with an
exercise price lower than CMV.
Existing shareholders are
eligible. Existing stockholders
have the opportunity to keep
their percentage of ownership
Warrants: Sold as units and
bundled with other securities,
for example, a bond with an
attached warrant. These are
long-term. Warrants can be
exercised above CMV when
issued Private securities offering.
 Securities traded to private investors. other services but execution services are carried out by other BDs. Primary offering: The issuer receives the proceeds thereof Initial public offering (IPO): This is the issuer's first release of securities to the public. They will receive the proceeds thereof Additional primary offering (APO): Following an IPO, an additional distribution of securities can be made available to the public to which the Monetary: The Federal Reserve Board enacts policies to direct the money supply Fiscal: Congress and the president enect policies that will influence the need for services and goods
 Traded OTC on or exchange. ssuer will receive the proceeds Split or combo offering: Here, both the issuer and existing shareholders will receive proceeds Traded OTC on or exchanges Supply-side: Here market forces determine prices as good sellers A form of liquidity for investors in real estate Debt securities (Bonds) Market centers (Transactions on the secondary market) Bond maturities: Exchanges: Takes place in an auction market with designated market makers trading listed securities in a physical location . Term: It is on one date that the Serial: it's over a period of years that the issue matures Preferred stock: Also used to raise capital but offers investors income. There are several types of preferred shares including.

Balloon: A period of years for a payment schedule with the final maturity date having the largest number of bonds maturing. Over-the-counter (OTC): Here market makers (dealers) trade in a Third market: OTC trading of exchange-listed securities Straight (noncumulative): If dividends are missed, they don't have to be Fourth market: Here, securities are traded over electronic.

SIE Cheat Sheet: Your Concise Guide to Success on the Series 65 Exam

Are you preparing for the Series 65 Investment Advisor exam? Feeling overwhelmed by the sheer volume of material? This SIE cheat sheet is your lifeline, offering a concise and targeted overview of key concepts to help you conquer the exam and launch your investment advisory career. We'll break down crucial topics, provide memory aids, and give you the strategic edge you need to succeed. This isn't just a summary; it's a strategic guide built to maximize your study time and improve your chances of passing.

Understanding the SIE Exam: What to Expect

Before diving into the specifics, let's establish a firm understanding of the SIE exam itself. This exam

tests your knowledge of the securities industry, focusing on foundational concepts critical for all investment professionals. Passing the SIE is a prerequisite for many more advanced exams, making it a crucial first step in your journey. The exam covers a broad spectrum of topics, including:

Key SIE Exam Topics:

Understanding Securities: This includes the different types of securities (stocks, bonds, options, mutual funds, ETFs), their characteristics, and how they are traded.

Regulation: A significant portion focuses on regulatory bodies like the SEC, FINRA, and their rules and regulations protecting investors.

Investment Strategies: This section delves into different investment approaches, risk tolerance, and suitability considerations.

Ethics and Professional Responsibilities: Integrity is paramount; this segment emphasizes ethical conduct and professional responsibilities within the securities industry.

Market Mechanics: Understanding the mechanics of the market, including order types, trading platforms, and market indices, is essential.

SIE Cheat Sheet: Key Concepts & Memorization Techniques

This section breaks down key concepts into manageable chunks, incorporating effective memorization techniques.

1. Securities & Their Characteristics:

Stocks (Equities): Represent ownership in a company; appreciate in value through capital gains and dividends. Remember: Equity = Ownership.

Bonds (Debt): Represent a loan to a company or government; generate income through interest payments. Remember: Bond = Loan.

Mutual Funds: Pools money from multiple investors to invest in a diversified portfolio. Remember: Mutual Funds = Diversification.

 $Exchange-Traded \ Funds \ (ETFs): \ Similar \ to \ mutual \ funds \ but \ trade \ on \ exchanges \ like \ stocks.$

Remember: ETFs = Exchange Traded.

2. Regulatory Landscape:

SEC (Securities and Exchange Commission): The primary regulator of the securities industry in the U.S. Remember: SEC = Regulation.

 $FINRA \ (Financial\ Industry\ Regulatory\ Authority): A\ self-regulatory\ organization\ overseeing\ brokerage\ firms\ and\ registered\ representatives.\ Remember:\ FINRA=Self-Regulation.$

Key Acts: Familiarize yourself with the Securities Act of 1933 (new issues), the Securities Exchange Act of 1934 (secondary market), and the Investment Advisers Act of 1940 (advisors).

3. Investment Strategies & Suitability:

Risk Tolerance: Understanding a client's risk tolerance is crucial for recommending suitable investments. Consider age, financial situation, and investment goals.

Suitability: Recommendations must be suitable for the client's risk profile, financial situation, and investment objectives. Remember: Suitability = Client First.

Diversification: Spreading investments across different asset classes to reduce risk.

4. Ethics & Professional Responsibilities:

Conflicts of Interest: Identify and disclose any potential conflicts of interest.

Fiduciary Duty: Acting in the best interest of your clients.

Customer Privacy: Protecting client information and maintaining confidentiality.

5. Market Mechanics:

Order Types: Understand different order types (market, limit, stop-loss).

Trading Platforms: Be familiar with common trading platforms.

Market Indices: Know major market indices like the S&P 500 and Dow Jones Industrial Average.

Maximizing Your SIE Exam Preparation

This cheat sheet provides a foundation. Supplement it with comprehensive study materials, practice exams, and consider using flashcards for memorization. Focus on understanding the underlying concepts rather than rote memorization.

Conclusion

Passing the SIE exam is a significant achievement, opening doors to a rewarding career in the financial industry. This SIE cheat sheet provides a valuable starting point for your studies. Remember consistent effort, focused study, and a thorough understanding of the concepts are key to success. Good luck!

FAQs

- 1. Is this cheat sheet enough to pass the SIE exam? No, this cheat sheet serves as a concise overview and study aid. It must be complemented by thorough study using official materials and practice exams.
- 2. What are the best resources for SIE exam preparation beyond this cheat sheet? Consider official

FINRA materials, reputable prep courses, and practice exams from various providers.

- 3. How many questions are on the SIE exam? The SIE exam typically consists of around 75 multiple-choice questions.
- 4. How much time do I have to complete the SIE exam? You'll typically have around 1.5 hours to complete the exam.
- 5. What happens if I fail the SIE exam? You can retake the exam after a waiting period. Review your weak areas and utilize additional study resources before attempting a retake.

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