

# SIE Practice Test Questions and Answers

## 1. What does SIE stand for in the securities industry?

- A) Securities Industry Essentials
- B) Securities Investment Exam
- C) Stock Industry Education
- D) Securities Information Exchange

## 2. Which regulatory body administers the SIE exam?

- A) Securities and Exchange Commission (SEC)
- B) Financial Industry Regulatory Authority (FINRA)
- C) Federal Reserve Board (FRB)
- D) Commodity Futures Trading Commission (CFTC)

## 3. What is the primary market in securities trading?

- A) Where securities are traded between investors
- B) Where new securities are first sold to the public
- C) Where options and derivatives are traded
- D) Where bonds are exclusively traded

## 4. Which type of order guarantees execution but not price?

- A) Limit order
- B) Stop order
- C) Market order
- D) Fill-or-kill order

Answers: 1-A 2-B 3-B 4-C

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