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nov 2 2021 learn about the securities industry essentials exam sie the streamlined qualification test from finra for people looking to get a job in the securities industry

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the passing score for the sie is 70 on a scale of 0 to 100 this test score is placed on a common scale with all other candidate test scores for that exam and statistical adjustments are made to the score to account for slight variations in the difficulty that may exist among different sets of exam questions

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the securities industry essentials sie exam is a finra exam for prospective securities industry professionals this introductory level exam assesses a candidate s knowledge of basic securities industry information including concepts fundamental to working in the industry such as types of products and their risks the structure of the securities industry markets regulatory

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what is the sie exam and why did finra establish it

the sie exam is a finra administered exam that s required for any person who s interested in starting a career in the securities industry passing the sie alone doesn t qualify a person for registration with a finra member firm or qualify them to engage in securities business instead the sie exam is the prerequisite to becoming registered with a member firm

sie essential exam securities training corporation

the sie exam is a new introductory level finra exam for prospective industry professionals its purpose is to assess a candidate s basic knowledge of securities industry topics fundamental to working in the industry the sie exam is a finra sponsored exam that will be a prerequisite to working within the financial services industry

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jan 24 2023 the securities industry essentials sie exam is an entry level assessment that covers products risks regulatory agencies prohibited practices and markets administered by the financial