

FINRA SIE Exam

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 agencies and their functions; and prohibited practices. The SIE is open to anyone aged 18 or older, including students and prospective candidates interested in demonstrating basic industry knowledge to prospective employers. Association with a firm is not required to take the SIE, and results are valid for four years.

Passing the SIE alone does not qualify an individual to register with a FINRA member firm or engage in securities business. In order to become registered to engage in the securities business, an individual must pass the SIE and a qualification exam appropriate for the type of business the individual will engage in. The individual must be associated with a member firm to take a qualification exam.

SIE at a Glance

Number of Questions: 75

Format: Multiple Choice

Duration: 1 hour and 45 minutes

Passing Score: 70

Cost: \$80