

SIE Action Plan

Securities Industry Essentials Examination



EXAM SPECIFICATIONS

- ◆ Exam length: 1 hour 45 minutes
- ◆ Number of questions: 75 + 10 ungraded (85 total)
- ◆ Passing score: 70%

RECOMMENDED PREPARATION

- ◆ 40–60 hours
- ◆ Questions to complete: 1,000 (approx.)
 - 1 assessment exam (50 Qs)
 - 10 online practice exams (850 Qs)
 - 2 diagnostic exams (85 Qs)
 - 1 benchmark exam (85 Qs)

STUDY RESOURCES AVAILABLE IN THE TRAINING CENTER

1. Textbook (electronic and physical)
2. Video lectures*
(essential content, advanced content, Q&A review)
3. Online & printable practice exams (over 2,300 practice Qs)
4. Assessment, diagnostic, and final benchmark exams
5. Study supplements
6. Flash cards

* Available on the Knopman Marks mobile app

AVAILABLE CLASS FORMATS

- ◆ Live and virtual classes
(www.knopman.com/class-schedules)
- ◆ Online video lectures
- ◆ Accessible across all mobile devices

Action Plan

1. Complete the assessment exam (50 Qs). Access it in your Training Center (Practice Exams → Exams → Diagnostic Exams → Assessment Exam). No Target Score.
2. Read the SIE textbook.
 - a. Do not take notes. Read to gain exposure and familiarity with the testable content. Pace yourself so reading accounts for no more than 25% of your total study time.
3. Complete one Qbank exam (85Qs) on all topics. Target score: 60-65%
4. Attend a live class or watch the online video lectures.
 - a. (Optional) If you attend a live class, watch the advanced content and instructor-led Q&A in the training center.
5. Review the Class Summary and other Supplements
6. Complete ten targeted 20-30Q quizzes (min. 205Qs)
7. Complete diagnostic exam #1. Target score: 70%
8. Complete three Qbank exams (85Qs each) on all topics. Target score: 70-73%
9. Complete diagnostic exam #2. Target score: 70-73%
10. Complete two Qbank exams (85Qs each) on all topics - but UNCHECK "Show correct answer & explanation after each question" so you can practice your timing and endurance. Target Score: 73-80%
11. Complete the SIE benchmark exam. Target score: 75%-80%

For EVERY question you miss or are unsure of, return to the book and review the section referenced in the explanation.

Final Prep

- As your prep winds down, return to your class notes, study supplements, *Class Summary*, and video lectures.
- Complete additional Qbank exams in weak areas, but remember your overall score trend is more predictive than any single final test you may take.
- Be sure to get a good night sleep before your exam day. Being fresh and well-rested keeps your intuition and instinct sharp when you are choosing the "best" answer.

Be calm, confident, and good luck!

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GENERAL EXAM GUIDANCE AND COMMENTS

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- ◆ The SIE will test candidates on common securities industry knowledge and general concepts. Questions will cover specific rules, regulations, and securities laws, as well as broad characteristics and features of securities products and investment objectives.
- ◆ As a new exam, the SIE will change and evolve more frequently than older exams. Your resources and supplements will continue to be updated in the Training Center, so be sure to check in there frequently.
- ◆ Returning to the book or video lectures when reviewing questions is key. With this strategy, you will see most topics at least twice. Just doing questions and reading the rationales is not enough.

EXAM BREAKDOWN

Section	Description	Percentage of Exam	Number of Questions	Textbook Chapters
1	Knowledge of Capital Markets	16%	12	8–10
2	Understanding Products and Their Risks	44%	33	1–7
3	Understanding Trading, Customer Accounts, and Prohibited Activities	31%	23	8, 11, 12
4	Overview of the Regulatory Framework	9%	7	13–14
	Total	100%	75	

HOW TO GET HELP

- ◆ Technical support (including Qbank access issues), class enrollments, general administrative questions: material@knopman.com
- ◆ Content-related questions: ts@knopman.com, or follow up directly with your instructor
- ◆ These inboxes are checked during weekdays, evenings, and weekends.