



SIE

 **PASSMASTERS**

## Course Introduction

Welcome to class! Each course is comprised of sections that correspond to the sections found on the examination content outline. The Securities Industry Essentials course includes four sections:

- Section One: Knowledge of Capital Markets
- Section Two: Understanding Products and Their Risks
- Section Three: Understanding Trading, Customer Accounts and Prohibited Activities
- Section Four: Overview of Regulatory Framework

Each section is divided into easily digestible topics. Each topic has the following three components:



Read



PDF of the information for that topic that you should read first



Watch



A video for you to watch explaining that topic



Take



A topic quiz to practice your new knowledge



**Tip:** Make sure to pass every exam in the course with a 90% or better understanding why the correct answer is correct, and the incorrect answers are incorrect. Do **not** memorize the questions in the course. They will be different on the exam!

Each section ends with a review. Each review has two components:



Watch



Section Essential Concepts to watch



Take



Section Review Exam to practice your knowledge

The course ends with a final exam that is properly weighted and timed.



Take



Final Exam for you to Master

Step one is to watch the course introduction video and read the glossary. Learning what the words mean will help you **master** the content, setting you up to **pass** the exam!

**Date:** \_\_\_\_\_



Watch



Course Introduction Video



Read



Glossary

*"Action is the foundational key to all success." - Pablo Picasso*



# SIE 4-week Study Plan



This study plan is designed for you to complete one section each week. Depending upon your schedule, you can shorten the time by studying more topics each day, or lengthen the time, as is appropriate for your life.

## Week One Section One: Knowledge of Capital Markets

Each section is divided into easily digestible topics. Topics will take an hour or two to complete. Each topic has the following three components:



Read



PDF of the information for that topic that you should read first.

The PDF is between 1 and 9 pages long, averaging 30 minutes to an hour to read.



Watch



A video or two for you to watch explaining that topic.

The videos are between 7 - 74 minutes total per topic.



Take



A topic quiz to practice your new knowledge.

Topic quizzes are short, designed to take 5-20 minutes.

Section One has **five** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box!



Date: \_\_\_\_\_

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Section 1.1 - Trading Securities I

Date: \_\_\_\_\_

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Section 1.2 - Basic Economic Concepts I

Date: \_\_\_\_\_

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Section 1.3 - Basic Economic Concepts II

Date: \_\_\_\_\_

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Section 1.4 - Financial Reporting I

Date: \_\_\_\_\_

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Section 1.5 - Offerings

Date: \_\_\_\_\_

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Section One Review: Essential Concepts Video and Section Exam



Now would be a excellent time for you to schedule your exam. You want to make sure to schedule to take it shortly after completing the course, and it may take some time to get into the testing center. You should determine exactly when you will be completing your studies and get the exam scheduled for a day or two immediately after that. You **will** pass!



# SIE 4-week Study Plan



## Week Two Section Two: Understanding Products and Their Risks

Section Two has **fourteen** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box!



Date: _____	<input type="checkbox"/>	Section 2.1 - Equity Securities
Date: _____	<input type="checkbox"/>	Section 2.2 - Characteristics of Equity Securities
Date: _____	<input type="checkbox"/>	Section 2.3 - Cash and Cash Equivalents
Date: _____	<input type="checkbox"/>	Section 2.4 - Fixed Income Securities
Date: _____	<input type="checkbox"/>	Section 2.5 - Characteristics of Fixed Income Securities
Date: _____	<input type="checkbox"/>	Section 2.6 - Derivative Securities
Date: _____	<input type="checkbox"/>	Section 2.7 - Pooled Investments I
Date: _____	<input type="checkbox"/>	Section 2.8 - Pooled Investments II
Date: _____	<input type="checkbox"/>	Section 2.9 - Characteristics of Pooled Investments
Date: _____	<input type="checkbox"/>	Section 2.10 - Insurance Based Products - Annuities
Date: _____	<input type="checkbox"/>	Section 2.11 - Insurance Based Products - Life Insurance
Date: _____	<input type="checkbox"/>	Section 2.12 - Special Types of Accounts
Date: _____	<input type="checkbox"/>	Section 2.13 - Alternative Investments I
Date: _____	<input type="checkbox"/>	Section 2.14 - Types of Risk
Date: _____	<input type="checkbox"/>	Section Two Review: Essential Concepts Video and Section Exam



# SIE 4-week Study Plan



## Week Three Section Three: Understanding Trading, Customer Accounts and Prohibited Activities

Section Three has **fifteen** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box!

Date: _____	<input type="checkbox"/>	Section 3.1 - Trading Securities II	<input checked="" type="checkbox"/>
Date: _____	<input type="checkbox"/>	Section 3.2 - Portfolio Performance Measures I	
Date: _____	<input type="checkbox"/>	Section 3.3 - Portfolio Performance Measures II	
Date: _____	<input type="checkbox"/>	Section 3.4 - Tax Considerations	
Date: _____	<input type="checkbox"/>	Section 3.5 - Corporate Actions	
Date: _____	<input type="checkbox"/>	Section 3.6 - Types of Clients	
Date: _____	<input type="checkbox"/>	Section 3.7 - Retirement Plans	
Date: _____	<input type="checkbox"/>	Section 3.8 - Anti-Money Laundering	
Date: _____	<input type="checkbox"/>	Section 3.9 - Books and Records	
Date: _____	<input type="checkbox"/>	Section 3.10 - Privacy Requirements	
Date: _____	<input type="checkbox"/>	Section 3.11 - Communications	
Date: _____	<input type="checkbox"/>	Section 3.12 - Suitability	
Date: _____	<input type="checkbox"/>	Section 3.13 - Market Manipulation	
Date: _____	<input type="checkbox"/>	Section 3.14 - Insider Trading	
Date: _____	<input type="checkbox"/>	Section 3.15 - Other Prohibited Activities	
Date: _____	<input type="checkbox"/>	Section Three Review: Essential Concepts Video and Section Exam	



# SIE 4-week Study Plan



## Week Four Section Four: Overview of Regulatory Framework

Section Four has **two** topics, plus the section review. Once you complete all three components related to a topic, be sure to check the box! The week will end with the Final Exam!



Date: \_\_\_\_\_ ☐ Section 4.1 - Registration and Continuing Education

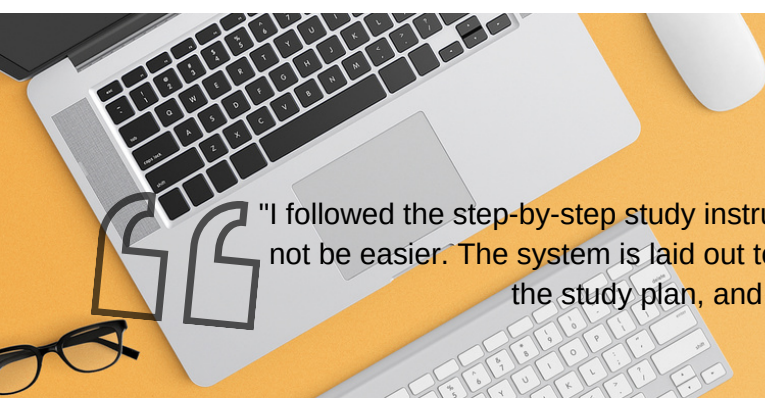
Date: \_\_\_\_\_ ☐ Section 4.2 - Employee Conduct and Reportable Events

Date: \_\_\_\_\_ ☐ Section Four Review: Essential Concepts Video and Section Exam

Date: \_\_\_\_\_ ☐ Final Exam



Congratulations on completing your studies. Green means go. Now it is your turn to PASS your exam. You CAN do this! Good luck!



"I followed the step-by-step study instructions and passed on my first attempt. It could not be easier. The system is laid out to pass, simple as that. Do your part and follow the study plan, and you will pass the first time."

- John





## SIE 4-week Study Plan



# THE DAY OF YOUR EXAM:

Here are some tips that will help you control your stress and anxiety the day of your exam. You may want to try them beforehand to find out which one works best for you:

- **Deep breathing.** Inhale deeply while you count to five and hold the breath for a count of one, then slowly exhale while you count to five. Repeat as many times as necessary.
- **Move your body.** Roll your head in a circle then rotate your shoulders. Shake your hands at your wrists. You should find these movements very relaxing.
- **Visualize your success.** Visualize your happy place. First, figure out where it is. Then, close your eyes and visualize yourself there. This is a great one to practice in advance of your exam.

More specifically, if you feel overwhelmed during your exam, here are some tips you can utilize to calm yourself:

- **Repeat your self-confidence message.** Or, better yet, write it on the scratch paper they give you.

## I WILL PASS!!

- **Visualize one more time.** Visualize yourself completing and passing the exam with time to spare.
- **Find an easy question.** They won't all be easy, but there should be some really easy test questions you encounter. Find one and answer it. Completing a question you absolutely know you got right will give you a good confidence boost.
- **Take a mental break.** Face it, the exam is long. You will probably have at least one mental lapse during the exam. If you do, accept it and bring your brain back into focus. Close your eyes and do some deep breathing for a short period, try a 4 count inhale, and a 6 count exhale.

We hope these tips will help you control your exam anxiety and stress. Good luck on your exam.

- The PassMasters Team