

Securities Industry Essentials (SIE)

9-DAY STUDY CALENDAR



Follow this simple schedule designed to help you manage your study time. To prepare for your SIE exam, plan on studying for at least **60 hours**: about **40 hours** reviewing the course material, and **20 hours** taking quizzes and practice exams. (Recommended study times are approximate. Actual length of study may vary.)

STUDY MATERIALS & STUDY STEPS

STUDY

Read: Study by Topic online chapters

Watch (*if available): OnDemand Videos

REVIEW

Chapter Summary: Review important concepts for each chapter

Key Facts: Review of important concepts presented in each chapter

Focused Review: Go over exam simulation results and review course material as directed

TEST YOUR KNOWLEDGE

Online Flash Cards (*if available): Check your knowledge of key concepts

Chapter Quiz: Take a quiz at the end of each chapter and review missed questions (pass 2-3 quizzes per chapter)

Simulate Your Exam: Take a realistic exam simulation (pass 2-3 exams with 80% or higher)

Focused Exam: Retest your knowledge of missed topics from a Simulate Your Exam

Readiness Exam: Test your knowledge and review missed questions (unlocks only after you pass the Simulate your Exam; pass 2-3 times with 80% or higher)

Guarantee Exam: Determine if you are ready to pass the state licensing exam (unlocks after passing a Readiness Exam; 2 attempts only)

DAY 1

STUDY FOCUS:

INTRODUCTION AND KNOWLEDGE OF CAPITAL MARKETS

Read

- Introduction
- Regulatory Entities, Agencies and Market Participants
- Types of Markets and Offerings

Watch

- Chapter Videos*

Review

- Chapter Summary
- Key Facts

Test Your Knowledge

- Online Flash Cards*
- Chapter Quizzes

DAY 2

STUDY FOCUS:

UNDERSTANDING PRODUCTS AND THEIR RISK

Read

- Economic Factors
- Equity Securities
- Debt Instruments

Watch

- Chapter Videos*

Review

- Chapter Summary
- Key Facts

Test Your Knowledge

- Online Flash Cards*
- Chapter Quizzes

DAY 3

STUDY FOCUS:

UNDERSTANDING PRODUCTS AND THEIR RISK

Read

- Options and Variable Products
- Investment Companies
- Municipal Fund Securities and Direct Participation Programs

Watch

- Chapter Videos*

Review

- Chapter Summary
- Key Facts

Test Your Knowledge

- Online Flash Cards*
- Chapter Quizzes

DAY 4

STUDY FOCUS:

UNDERSTANDING TRADING AND CUSTOMER ACCOUNTS

Read

- Trading, Settlement, and Corporate Actions
- Customer Accounts and Compliance Considerations

Watch

- Chapter Videos*

Review

- Chapter Summary
- Key Facts

Test Your Knowledge

- Online Flash Cards*
- Chapter Quizzes

DAY 5

STUDY FOCUS:

OVERVIEW OF THE REGULATORY FRAMEWORK

Read

- Overview of the Regulatory Framework

Watch

- Chapter Videos*

Review

- Chapter Summary
- Key Facts

Test Your Knowledge

- Online Flash Cards*
- Chapter Quizzes

DAY 6

STUDY FOCUS:

TEST YOUR KNOWLEDGE

Review

- Key Facts
- Appendix A: Acronyms
- Glossary

Simulate Your Exam

- Review score sheet and missed questions (pass 2-3 times)
- Review Study by Topic as needed

Focused Exam

- Review score sheet and missed questions
- Review Study by Topic as recommended

DAY 7

STUDY FOCUS:
TEST YOUR KNOWLEDGE

Simulate Your Exam

- Review score sheet and missed questions (pass 2-3 times)
- Review Study by Topic as needed

Focused Exam

- Review score sheet and missed questions
- Review Study by Topic as recommended

DAY 8

STUDY FOCUS:
TEST YOUR KNOWLEDGE

Readiness Exam

- Review score sheet and missed questions (pass 2-3 times)
- Review Study by Topic as needed

Guarantee Exam (1st attempt)

- Review score sheet
- Review course materials as needed

DAY 9

STUDY FOCUS:
TEST YOUR KNOWLEDGE AND FINAL REVIEW

Guarantee Exam (final attempt)

- Review score sheet
- Review course materials as needed

Final Review

- Key Facts
- Glossary
- Continue reviewing course materials until the day of exam

EXAM DAY!

 **Pass Your Qualification Exam**

DAY 13

STUDY FOCUS:

TEST YOUR KNOWLEDGE

Readiness Exam

- Review score sheet and missed questions (pass 2-3 times)
- Review Study by Topic as needed

DAY 14

STUDY FOCUS:

TEST YOUR KNOWLEDGE

Guarantee Exam (1st attempt)

- Review score sheet
- Review course materials as needed

DAY 15

STUDY FOCUS:

TEST YOUR KNOWLEDGE

Guarantee Exam (final attempt)

- Review score sheet
- Review course materials as needed

EXAM DAY!



Pass Your Qualification Exam