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Driven by Data

SIE Exam Reference Guide: Full Text for the FINRA, MSRB, CBOE & SEC Rules

Referenced in the SIE Content Outline (2022 Edition)

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Ask a Manager

Series 79 Exam Secrets Study Guide: Series 79 Test Review for the Investment Banking Representative Qualification Exam

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## SIE Exam Prep 2021-2022 - SIE Study Guide Secrets for the FINRA Securities Industry Essentials Examination, 3 Full-Length Practice Tests, Detailed Ans

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Pass the SIE John Wiley & Sons  
Test Prep Books' SIE Exam Prep: SIE Test Prep and Practice Test Questions for the FINRA Securities Industry Essentials Exam [2nd Edition] Made by Test Prep Books experts for test takers trying to achieve a great score on the Series SIE exam. This comprehensive study guide includes: Quick Overview Find out what's inside this guide! Test-Taking Strategies Learn the best tips to help overcome your exam! Introduction Get a thorough breakdown of what the test is and what's on it! Knowledge of Capital Markets Understanding Products and Their Risks Trading, Customers Accounts, and Prohibited Activities Overview of Regulatory Framework Practice Questions Practice makes perfect! Detailed Answer Explanations Figure out where you went wrong and how to improve! Studying can be hard. We get it. That's why we created this guide with

these great features and benefits: Comprehensive Review: Each section of the test has a comprehensive review created by Test Prep Books that goes into detail to cover all of the content likely to appear on the test. Practice Test Questions: We want to give you the best practice you can find. That's why the Test Prep Books practice questions are as close as you can get to the actual Series SIE test. Answer Explanations: Every single problem is followed by an answer explanation. We know it's frustrating to miss a question and not understand why. The answer explanations will help you learn from your mistakes. That way, you can avoid missing it again in the future. Test-Taking Strategies: A test taker has to understand the material that is being covered and be familiar with the latest test taking strategies. These strategies are necessary to properly use the time provided. They also help test takers complete the test without making any errors. Test Prep Books has provided the top test-taking tips. Customer

Service: We love taking care of our test takers. We make sure that you interact with a real human being when you email your comments or concerns. Anyone planning to take this exam should take advantage of this Test Prep Books study guide. Purchase it today to receive access to: Series SIE review materials Series SIE practice questions Test-taking strategies  
**SIE Exam Practice Question Workbook**  
Independently Published Test Prep Books' SIE Exam Prep 2021-2022: SIE Study Guide and 3 Practice Tests for the FINRA Securities Industry Essentials Examination [5th Edition Book] Made by Test Prep Books experts for test takers trying to achieve a great score on the Series SIE exam. This comprehensive study guide includes: Quick Overview Find out what's inside this guide! Test-Taking Strategies Learn the best tips to help overcome your exam! Introduction Get a thorough breakdown of what the test is and what's on it! Knowledge of

Capital Markets  
 Understanding Products  
 and Their Risks Trading,  
 Customers Accounts, and  
 Prohibited Activities  
 Overview of Regulatory  
 Framework Practice  
 Questions Practice makes  
 perfect! Detailed Answer  
 Explanations Figure out  
 where you went wrong  
 and how to improve!  
 Studying can be hard. We  
 get it. That's why we  
 created this guide with  
 these great features and  
 benefits: Comprehensive  
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 Questions: We want to  
 give you the best practice  
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 Every single problem is  
 followed by an answer  
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 frustrating to miss a  
 question and not  
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 answer explanations will  
 help you learn from your  
 mistakes. That way, you  
 can avoid missing it again  
 in the future. Test-Taking  
 Strategies: A test taker  
 has to understand the

material that is being  
 covered and be familiar  
 with the latest test taking  
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 test designers. This  
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 includes 4 full-length  
 practice exams (2 more  
 than our standard  
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 all-encompassing,  
 comprehensive textbook,  
 this guide covers only  
 what's on the test,  
 offering formulas, tips,  
 and basic info you need to  
 study. It empowers you  
 with the ability to think  
 each problem through and  
 get to the bottom of  
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 providing you with  
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 want to know. Distribution  
 of profits Types of  
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Investing in all types of stock Bond types, prices, yields, and risks Handling margin accounts Characteristics of different investment companies Direct Participation Programs and other types of partnerships Option selling, buying, and trading Security analysis and security markets Whether you're preparing to take the test for the first time or the fourth time, Series 7 For Dummies is the book for you! CD-ROM/DVD and other supplementary materials are not included as part of the e-book file, but are available for download after purchase.

### **SIE Exam Prep**

**2023-2024** John Wiley & Sons  
 PMBOK® Guide is the go-to resource for project management practitioners. The project management profession has significantly evolved due to emerging technology, new approaches and rapid market changes. Reflecting this evolution, The Standard for Project Management enumerates 12 principles of project management and the PMBOK® Guide – Seventh Edition is structured around eight project performance domains. This edition is designed to

address practitioners' current and future needs and to help them be more proactive, innovative and nimble in enabling desired project outcomes. This edition of the PMBOK® Guide: Reflects the full range of development approaches (predictive, adaptive, hybrid, etc.); Provides an entire section devoted to tailoring the development approach and processes; Includes an expanded list of models, methods, and artifacts; Focuses on not just delivering project outputs but also enabling outcomes; and Integrates with PMIstandards+™ for information and standards application content based on project type, development approach, and industry sector.  
[Wiley Securities Industry Essentials Exam Review 2022 Apex Test Prep](#)  
 From the creator of the popular website Ask a Manager and New York's work-advice columnist comes a witty, practical guide to 200 difficult professional conversations—featuring all-new advice! There's a reason Alison Green has been called “the Dear Abby of the work world.” Ten years as a workplace-advice columnist have taught her that people avoid awkward

conversations in the office because they simply don't know what to say. Thankfully, Green does—and in this incredibly helpful book, she tackles the tough discussions you may need to have during your career. You'll learn what to say when • coworkers push their work on you—then take credit for it • you accidentally trash-talk someone in an email then hit “reply all” • you're being micromanaged—or not being managed at all • you catch a colleague in a lie • your boss seems unhappy with your work • your cubemate's loud speakerphone is making you homicidal • you got drunk at the holiday party  
 Praise for Ask a Manager “A must-read for anyone who works . . . [Alison Green's] advice boils down to the idea that you should be professional (even when others are not) and that communicating in a straightforward manner with candor and kindness will get you far, no matter where you work.”—Booklist (starred review) “The author's friendly, warm, no-nonsense writing is a pleasure to read, and her advice can be widely applied to relationships in

all areas of readers' lives. Ideal for anyone new to the job market or new to management, or anyone hoping to improve their work experience."—Library Journal (starred review) "I am a huge fan of Alison Green's Ask a Manager column. This book is even better. It teaches us how to deal with many of the most vexing big and little problems in our workplaces—and to do so with grace, confidence, and a sense of humor."—Robert Sutton, Stanford professor and author of *The No Asshole Rule* and *The Asshole Survival Guide* "Ask a Manager is the ultimate playbook for navigating the traditional workforce in a diplomatic but firm way."—Erin Lowry, author of *Broke Millennial: Stop Scraping By and Get Your Financial Life Together*

**Securities Industry Essentials Exam 2023-2024 For Dummies with Online Practice** Solomon Exam Prep

UPDATED CONTENT FOR 2019! Your complete guide to passing FINRA's SIE Examination! Created by two finance industry veterans with more than 40 years of combined experience, this comprehensive SIE

Examination study guide contains: 19 individual chapters that thoroughly covers all examination content, educational and summary figures and tables spread throughout the study guide to help summarize important content, end of chapter quizzes that test your knowledge of the content covered in each chapter, practice examinations to help simulate the actual SIE Examination, links to FINRA's practice exam and content outline, sourced content for additional focused review. Content covered in the study guide includes regulatory agencies - SEC, FINRA, MSRB, various security types (equity, debt, options, and mutual funds), Initial Public Offerings, business cycle, monetary policy, college savings accounts, investment risks, order and trading strategies, investment returns, corporate actions, dividends, types of accounts, anti-money laundering, privacy rules, communication standards, prohibited activities (insider trading, market manipulation), continuing education, registration requirements, employee conduct, gifts and entertainment, and political contributions.

Why purchase SIE Professor's Securities Industry Essentials Examination Study Guide?

1. Authors have over 40 years of relevant industry experience
2. Career advancement by obtaining the SIE Qualification Exam for resumes and interviews
3. In addition to hard copy materials, online materials and test are available. For more information about SIE Professor, visit our website at [www.SIEProfessor.com](http://www.SIEProfessor.com).

*The Four Tendencies*  
Coventry House Publishing  
NEW YORK TIMES BESTSELLER • Are you an Upholder, a Questioner, an Obliger, or a Rebel? From the author of *Better Than Before* and *The Happiness Project* comes a groundbreaking analysis of personality type that "will immediately improve every area of your life" (Melissa Urban, co-founder of the Whole30). During her multibook investigation into human nature, Gretchen Rubin realized that by asking the seemingly dry question "How do I respond to expectations?" we gain explosive self-knowledge. She discovered that based on their answer, people fit

into Four Tendencies: • Upholders meet outer and inner expectations readily. “Discipline is my freedom.” • Questioners meet inner expectations, but meet outer expectations only if they make sense. “If you convince me why, I’ll comply.” • Obligers (the largest Tendency) meet outer expectations, but struggle to meet inner expectations—therefore, they need outer accountability to meet inner expectations. “You can count on me, and I’m counting on you to count on me.” • Rebels (the smallest group) resist all expectations, outer and inner alike. They do what they choose to do, when they choose to do it, and typically they don’t tell themselves what to do. “You can’t make me, and neither can I.” Our Tendency shapes every aspect of our behavior, so using this framework allows us to make better decisions, meet deadlines, suffer less stress, and engage more effectively. It’s far easier to succeed when you know what works for you. With sharp insight, compelling research, and hilarious examples, The Four Tendencies will help you get happier, healthier, more productive, and

more creative.

**SIE Exam Prep 2021 and 2022** Study Guides Bob Eder’s Study for the Securities Industry Essentials (SIE) Exam helps the applicant study and prepare for the 75-question SIE exam, a necessary test to pass if one wishes to become a securities professional. Anyone contemplating taking the Series 6 for mutual fund and variable annuity professionals, or the Series 7 for general securities practitioners, needs to take and pass the SIE exam in conjunction with the Series 6 and 7 exams. Our book covers important information about the workings of the securities industry; types of products; exchange-traded funds, including leveraged and inverse ETF’s; put and call options, including in-the-money and out-of-the-money options; principles of bonds, including different types of bonds and yields; risks of investing; regulatory agencies such as FINRA and the SEC; communications with customers; and prohibited dealings, to name just a few. Study for the Securities Industry Essentials (SIE) Exam provides questions and

examples throughout the text as study aids for the student. In addition, our book contains two practice exams of 75 questions each, together with answers and full explanations. Also a glossary of terms for quick reference at the end of our book. Our chapter on options comes with formulae for basic options positions, showing maximum profit, maximum loss, and break-even points for each of the option positions. The SIE Exam is a FINRA exam that anyone aged 18 or older may take, even students still in school and prospective candidates for future registration. There is no requirement that a person possess an association with a brokerage firm. Once a student takes and passes the SIE exam, his/her results are valid for four years.

**SIE Exam Prep Book 2021-2022** John Wiley & Sons  
APEX Test Prep’s SIE Exam Prep 2021-2022: SIE Study Guide and Practice Test Questions for the FINRA Securities Industry Essentials Exam [Includes Detailed Answer Explanations] APEX Test Prep believes that Series SIE exam preparation shouldn’t be harder than

the test itself. To that end, we pack our products with everything you need. This includes testing tips, clear instruction, comprehensive study material, practice questions, and detailed answer explanations. We want you to succeed. Get a copy of our APEX Test Prep Series SIE study guide to get access to: Test-Taking Strategies: We give you the best practice when taking exams to help you pass with confidence. These APEX Test Prep tips help you get inside the minds of the test creators and help you make educated guesses when you get stumped. Introduction to the SIE Exam Get a thorough breakdown of what the test is and what's on it! Knowledge of Capital Markets Regulatory Entities, Agencies, and Market Participants, Market Structure, Economic Factors, Offerings, Practice Questions and Answer Explanations Understanding Products and Their Risks Products, Investment Risks, Practice Questions and Answer Explanations Understanding Trading, Customer Accounts and Prohibited Activities Trading, Settlement and Corporate Actionsm,

Customer Accounts and Compliance Considerations, Prohibited Activities, Practice Questions and Answer Explanations Overview of the Regulatory Framework SRO Regulatory Requirements for Associated Persons, Employee Conduct and Reportable Events, Practice Questions and Answer Explanations Disclaimer: The Financial Industry Regulatory Authority (FINRA) does not endorse this product nor is FINRA affiliated in any way with the owner or any content related to this website. Straightforward Instruction: APEX Test Prep introduces all of our Series SIE test prep material in a manner that is easy to understand for you to use on test day. We also include information about the test itself. This includes time limits and registration details. Comprehensive Series SIE Study Material: Our APEX Test Prep team compiles all the information that could be covered by your exam into this prep study guide. We make sure you are properly prepared for any question. Practice Test Questions: Test out your skills and evaluate your readiness. The questions written by APEX Test Prep

are as close as possible to the questions found in actual tests. You're training with the pros! Detailed Answer Explanations: Every practice test comes with an in-depth answer key. Nothing is worse than missing a question and not knowing why. These APEX Test Prep explanations show you where you went wrong. Now, you can avoid making the same mistake on the actual exam. Get the experts of APEX Test Prep on your side. You don't want to miss out on this top-notch material. Life can be difficult. Test prep doesn't have to be. Test Prep Books Test Prep Books' SIE Exam Prep 2023-2024: 5 Practice Tests and Study Guide Book for the FINRA Securities Industry Essentials Certification [7th Edition] Made by Test Prep Books experts for test takers trying to achieve a great score on the Series SIE exam. This comprehensive study guide includes: Quick Overview Find out what's inside this guide! Test-Taking Strategies Learn the best tips to help overcome your exam! Introduction Get a thorough breakdown of what the test is and what's on it! Knowledge of

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 Agencies, and Market  
 Participants, Market  
 Structure, Economic  
 Factors, and Offerings  
 Understanding Products  
 and Their Risks Products  
 and Investment Risks  
 Trading, Customers  
 Accounts, Prohibited  
 Activities Trading,  
 Settlement, and  
 Corporate Actions, and  
 Customer Accounts and  
 Compliance  
 Considerations Overview  
 of Regulatory Framework  
 SRO Regulatory  
 Requirements for  
 Associated Persons, and  
 Employee Conduct and  
 Reportable Events  
 Practice Test #1 Answer  
 Explanations #1 Practice  
 Test #2 Answer  
 Explanations #2 Practice  
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 followed by an answer  
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 question and not  
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 help you learn from your  
 mistakes. That way, you  
 can avoid missing it again  
 in the future. Test-Taking  
 Strategies: A test taker  
 has to understand the  
 material that is being  
 covered and be familiar  
 with the latest test taking  
 strategies. These  
 strategies are necessary  
 to properly use the time  
 provided. They also help  
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 kid on the block. But it  
 covers material Solomon  
 Exam Prep has been  
 guiding customers  
 through for years: equity  
 and debt securities,  
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 regulations, FINRA rules,  
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 taxation, customer  
 accounts, conduct rules,  
 prohibited activities, and  
 much, much more! The  
 Solomon Exam Prep  
 Guide: SIE--FINRA  
 Securities Industry  
 Essentials Examination is  
 a comprehensive study



guide to the SIE exam. With clear writing and detailed explanations, visual study aids, and example questions, this Solomon Exam Prep guide will help you gain the knowledge you need to pass the SIE exam.

Solomon Exam Prep has helped thousands pass their FINRA, NASAA, and MSRB licensing exams. Let our expertise prepare you for the SIE exam so you can enter the exam room with confidence. Solomon Exam Prep helps students study for the Series 3, 6, 7, 24, 26, 27, 28, 50, 51, 52, 53, 63, 65, 66, 79, 82, and 99 licensing exams. Contact us if you would like more information about how we can help you or your employees pass these challenging and important exams!

*Securities Industry Essentials Exam For Dummies with Online Practice Tests* SIE Exam Prep 2021 and 2022  
Taking the SIE Exam? This Study Guide Will Help You Ace the Exam and Get the Perfect Score! Do you plan to take the FINRA Securities Industry Essentials Exam soon? Do you find preparing for the exam challenging and exhausting? This SIE Study Guide is filled with all the info you'll need to

pass the exam and get a perfect score! The FINRA Securities Industry Essentials Exam is very challenging, and it is essential to prepare for the test properly. This SIE Exam Prep guide will prepare you to pass the exam with a perfect score. The guide contains 300 questions and detailed answers explanations for the SIE Exam. And, once you're finished studying, you can test your knowledge with the four full-length practice tests included in the guide. Here's what this complete SIE study guide offers: Thirteen educational chapters From equity securities to options and public communications, this guide covers all the topics that show up in the SIE Exam. Smooth study experience Each chapter is written in a straightforward and logical manner to help you absorb much information quickly and easily. Practice test questions Four mock exams that will give you the best practice you can find. Answer explanations Each exam is followed by answers and rationales, so you never wonder why your answer is incorrect. And more! This guide is packed with detailed yet

easy-to-remember information that will be the key to passing the SIE Exam. Even if the thought of taking a test terrifies you or you have trouble studying, this comprehensive guide for taking the SIE Exam will help you succeed. If you're ready to set yourself on a path to success, then you need this book today!

Pass the Sie Test Prep Books

The SIE Exam Practice Question Workbook provides seven full-length practice tests to prepare for the demanding Securities Industry Essentials (SIE) Exam. Master exam topics with intensive practice in the areas you'll find on the test. All questions are test-level difficulty and focused solely on helping you pass. Whether you're challenging the exam for the first time or trying again after an unsuccessful attempt, you will learn the critical skills needed to master the exam. Included are seven full-length 75-question exams covering the following topics: • Knowledge of capital markets • Understanding products and their risks • Trading, customer accounts, and prohibited activities • Overview of

the regulatory framework About the SIE Exam The Securities Industry Essentials Exam is a new 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. In order to become registered to engage in securities business, an individual must pass the SIE exam and a qualification exam appropriate for the type of business the individual will engage in.

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Test Prep Books' SIE Exam Prep 2021 and 2022: SIE Study Guide with Practice Test Questions for the FINRA Securities Industry Essentials Exam [4th Edition Book] Made by Test Prep Books experts for test takers trying to achieve a great score on the Series SIE exam. This comprehensive study guide includes: Quick

Overview Find out what's inside this guide! Test-Taking Strategies Learn the best tips to help overcome your exam! Introduction Get a thorough breakdown of what the test is and what's on it! Knowledge of Capital Markets Understanding Products and Their Risks Trading, Customers Accounts, and Prohibited Activities Overview of Regulatory Framework Practice Questions Practice makes perfect! Detailed Answer Explanations Figure out where you went wrong and how to improve! Studying can be hard. We get it. That's why we created this guide with these great features and benefits: Comprehensive Review: Each section of the test has a comprehensive review created by Test Prep Books that goes into detail to cover all of the content likely to appear on the test. Practice Test Questions: We want to give you the best practice you can find. That's why the Test Prep Books practice questions are as close as you can get to the actual Series SIE test. Answer Explanations: Every single problem is followed by an answer explanation. We know it's frustrating to miss a

question and not understand why. The answer explanations will help you learn from your mistakes. That way, you can avoid missing it again in the future. Test-Taking Strategies: A test taker has to understand the material that is being covered and be familiar with the latest test taking strategies. These strategies are necessary to properly use the time provided. They also help test takers complete the test without making any errors. Test Prep Books has provided the top test-taking tips. Customer Service: We love taking care of our test takers. We make sure that you interact with a real human being when you email your comments or concerns. Anyone planning to take this exam should take advantage of this Test Prep Books study guide. Purchase it today to receive access to: Series SIE review materials Series SIE practice questions Test-taking strategies **SIE Exam Prep 2021-2022** Project Management Institute The Securities Industry Essentials Exam is an exciting, new development from the industry regulator known

as FINRA. Historically, those who wanted to become securities agents had to be hired by a broker-dealer before taking a license exam. Now, with the implementation of the Securities Industry Essentials (SIE) Exam, those interested in entering the industry can take a securities license exam on their own. Then, after being hired by a member firm, these individuals will take a top-off exam, such as the Series 6 or Series 7, to complete their FINRA licensing requirements. The results of the SIE are good for four years. Therefore, an individual can take the exam long before he chooses his career path and begins his job search in the financial services industry. Those who have passed the Securities Industry Essentials (SIE) Exam are presumed to have an advantage over other candidates, as they have shown initiative and already cleared one hurdle in the process of getting a candidate registered with FINRA and the state securities regulators. This book follows the Securities Industry Essentials (SIE) Exam Outline provided by FINRA. There are four

sections of the FINRA outline, which is why this book, also, has four chapters. Chapter 1 covers primary offerings of securities, such as IPOs or initial public offerings. Types of broker-dealer businesses and their basic financial and regulatory requirements are explored. Finally, we look in some detail at basic economic factors affecting securities investments, including inflation, interest rates, and the business cycle. The largest chapter, Chapter 2, is called "Understanding Products and Their Risks." Here, we explore insurance and securities products in detail, following with a detailed examination of investment risks related to various investment approaches. Annuities, corporate bonds, Treasuries, municipal securities, common stock, preferred stock, and derivatives are all discussed in detail in this chapter. Chapter 3 examines customer accounts, trading securities, and FINRA regulations of agents. The last chapter, Chapter 4, focuses on the regulation of the securities industry. Here, we explore federal securities legislation as well as FINRA in detail.

After each chapter, you will take a chapter review exercise, and then a chapter review quiz. At the end of the four chapters, you will find two full-length practice exams, 75 questions each. A detailed glossary follows the practice exams. Finally, an index of frequently used terms is found at the end of the manual. The authors of Examzone textbooks have helped thousands pass the Series 6, 7, 24, 63, 65, 66, and 99 exams over the past 18 years. We're now excited to help you pass the Securities Industry Essentials Exam. This test will open doors for your career as was never-before possible. Once you pass this test, we look forward to helping you pass the Series 7 and Series 6 once you enter the securities industry. *Securities Industry Essentials Exam Study Guide 2023 + Test Bank* John Wiley & Sons SLAY the SIE—and score that top job! That securities job of your dream looks pretty sweet, but one little thing stands in your way: the Securities Industry Essentials (SIE) exam. The high fail rate for first- and second-time test-takers can be intimidating, but you can avoid it! Pass the exam

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