**FINRA Surveillance Business Analyst Pre-Screening Tasks**

**Sample Data for Analysis Tasks**

* This is transaction data that represents trades in the symbol noted in the table.
* Date is the date on which the trade took place.
* Firm is the Broker/Dealer who made the trade.
* Symbol is the security that was traded.
* Side represents whether the trade was a buy (purchase) or sell (sale) of the security.
* Quantity is the number of shares involved in the transaction.
* Price is the price per share.

**Table Name: TRADES**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DATE** | **FIRM** | **SYMBOL** | **SIDE** | **QUANTITY** | **PRICE** |
| 2/3/2014 | 1ABC | A123 | B | 200 | 41 |
| 2/4/2014 | 2BCD | B234 | B | 600 | 60 |
| 2/7/2014 | 1ABC | C345 | S | 600 | 70 |
| 2/10/2014 | 3CDE | C345 | S | 600 | 70 |
| 2/12/2014 | 4DEF | B234 | B | 200 | 62 |
| 2/14/2014 | 3CDE | B234 | B | 300 | 61 |
| 2/21/2014 | 1ABC | A123 | B | 300 | 40 |
| 2/24/2014 | 1ABC | A123 | S | 300 | 30 |
| 2/25/2014 | 4DEF | C345 | B | 2100 | 71 |
| 2/27/2014 | CDE | B234 | S | 1100 | 63 |

1. Based on the data in the table above, please draft a paragraph that describes your data observations and description of what is going on in the market during February 2014.
2. Your business user asks you for a series of items as follows. In each of the items below, if you make assumptions to complete the task, please document them.
3. Your business user asks you to tell them the unique symbols in the data table above.
4. Please write the SQL query you would use to query this table.

ii. Please show the exact results you expect based on your SQL query.

1. Your business user asks you to tell them the unique firm and symbol combinations in the data table above.
2. Please write the SQL query you would use to query this table.
3. Please show the exact results you expect based on your SQL query.
4. Your business user asks you to show them a table that includes the number of trades for each firm and symbol combination in the data table above.
   1. Please write the SQL query you would use to query this table.
   2. Please show the exact results you expect based on your SQL query.
5. Based on the data table above, your business user asks you to create a report that shows, for each firm, the symbols they traded and the total dollar volume they traded in that symbol.
6. Please write the business requirements and corresponding functional specifications for this business request in the following format.

|  |  |  |
| --- | --- | --- |
| **BR #** | **Business Requirement** | **Functional Specification** |
|  |  |  |

1. If you have clarifying questions, please document them, make assumptions to complete your task, and document your assumptions.