

Certification SIE Test Questions - Reliable SIE Real Exam

SIE Exam Complete Questions And Answers

What are statutory voting rights? CORRECT ANSWERS Allows the shareholder to vote one time per share for each seat on the board.

If the investor owns 10 shares, she can use 10 shares to vote for position #1 and 10 shares to vote for position #2.

What are cumulative voting rights? CORRECT ANSWERS Allows the shareholder to pool votes together and then allocate as desired.

If the investor owns 10 shares and there are 2 open seats, she can use all 20 shares to vote for a single candidate.

When are common stockholders paid in a liquidation? CORRECT ANSWERS Last

What are pre-emptive rights? CORRECT ANSWERS Give investors the right to acquire additional shares to maintain a proportionate interest in a company's stock (not increase their position) when new shares are issued. This prevents dilution.

Are rights and warrants traded as independent securities in the secondary market? CORRECT ANSWERS Yes

Do warrants or rights remain outstanding longer? CORRECT ANSWERS Warrants

Are warrants issued with intrinsic value? CORRECT ANSWERS No, they are not valuable until the stock's price increases.

What is the market value of a warrant connected to? CORRECT ANSWERS The value of the underlying stock

What is the exercise price of rights? CORRECT ANSWERS Below current market value

What is the exercise price of warrants? CORRECT ANSWERS Above the current market value

Are warrants typically issued in connection with another security in order to make that security more attractive? CORRECT ANSWERS Yes

What are characteristics of penny stocks? CORRECT ANSWERS Unlisted
Low-priced
Risky
Volatile

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	Market Structure: This section of the exam measures the skills of Equity Market Specialists and covers the classification of financial markets, including the primary, secondary, third, and fourth markets. Candidates must demonstrate knowledge of electronic trading, over-the-counter (OTC) markets, and physical exchanges. One specific skill tested is differentiating between various market types and their operational mechanisms.

Topic 2	Employee Conduct and Reportable Events: This section of the exam measures the skills of Financial Compliance Specialists and covers regulatory expectations regarding employee conduct and disclosure requirements. Candidates must be familiar with Form U4 and Form U5, as well as reporting obligations for outside business activities and political contributions.
Topic 3	Understanding Products and Their Risks: This section of the exam measures the skills of Investment Analysts and examines different financial products and associated risks. Candidates must understand equity securities, including common stock, as well as debt instruments such as Treasury securities and mortgage-backed securities.
Topic 4	Understanding Trading, Customer Accounts, and Prohibited Activities: This section of the exam measures the skills of Securities Traders and focuses on different trading strategies, settlement processes, and corporate actions. Candidates must demonstrate knowledge of order types, including market, limit, stop, and good-till-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
Topic 5	Regulatory Entities, Agencies, and Market Participants: This section of the exam measures the skills of Financial Regulatory Analysts and covers the structure, authority, and jurisdiction of key regulatory bodies overseeing financial markets. The SEC's role in enforcing securities regulations is assessed, along with the authority of self-regulatory organizations such as FINRA and MSRB. Candidates must also understand the functions of other financial regulators, including the Department of the Treasury and state regulatory agencies. One key skill evaluated is identifying the jurisdictional scope of different financial regulators.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q181-Q186):

NEW QUESTION # 181

Which of the following statements concerning nonqualified deferred compensation plans is true?

- A. The deferred compensation must be held in escrow at a bank.
- B. They are governed by ERISA rules.
- C. A failure of the business could lead to nonpayment of the deferred compensation.
- D. Such plans must be reviewed with the IRS.

Answer: C

Explanation:

Nonqualified deferred compensation (NQDC) plans allow employees to defer income until a future date.

* D is correct because NQDC funds remain part of the company's general assets, which creditors may claim if the company goes bankrupt.

* A is incorrect as NQDC plans are not subject to ERISA rules.

* B is incorrect because these plans do not require IRS review.

* C is incorrect as NQDC assets are not required to be held in escrow.

Reference: IRS Code Section 409A

NEW QUESTION # 182

An investor purchases a Sep 30 XYZ call for a premium of 5. What will the investor pay for this option?

- A. \$3,000
- B. \$5
- C. \$30
- **D. \$500**

Answer: D

Explanation:

The correct answer is C, \$500. In options trading, the quoted premium is given on a per-share basis, but each standard options contract represents 100 shares of the underlying stock.

Step 1: Identify the premium. The premium is quoted as 5, which means \$5 per share.

Step 2: Determine the contract size. One standard equity option contract controls 100 shares.

Step 3: Calculate the total cost.

$\$5 \times 100 \text{ shares} = \$500 \text{ total premium paid}$

This means the investor must pay \$500 to purchase the call option.

Choice A (\$5) is incorrect because it reflects only the per-share premium, not the total contract cost. Choice B (\$30) incorrectly uses the strike price (30), which is unrelated to the premium paid. Choice D (\$3,000) incorrectly multiplies the strike price by 100, which represents the exercise value, not the premium.

For the SIE exam, it is essential to remember that all listed equity options are quoted per share but traded in contracts of 100 shares, so always multiply the premium by 100 to find the total cost.

Thus, the correct total payment is \$500, making answer C correct.

NEW QUESTION # 183

Which of the following strategies is best for mitigating the risk of a concentrated position?

- A. Dollar-cost averaging
- **B. Diversification**
- C. Dividend reinvestment
- D. Use of leverage

Answer: B

Explanation:

Step by Step Explanation:

* Diversification: Spreads investments across multiple securities, industries, or asset classes to reduce exposure to a single security or sector.

* Other Options:

* Use of Leverage: Increases, not decreases, portfolio risk.

* Dollar-Cost Averaging: Reduces timing risk but does not address concentration.

* Dividend Reinvestment: Enhances returns but does not mitigate concentration risk.

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SEC Guidance on Diversification: SEC Diversification.

NEW QUESTION # 184

An investor generally purchases an open-end mutual fund from which of the following parties?

- A. The fund's custodian
- B. The NYSE
- C. An existing shareholder
- **D. The fund's underwriter**

Answer: D

Explanation:

Step by Step Explanation:

* Open-End Mutual Funds: Shares are purchased directly from the fund or its underwriter at the current Net Asset Value (NAV), plus any applicable sales charges.

* Custodian: Holds the fund's assets but does not sell shares.

* NYSE and Shareholders: Open-end funds do not trade on exchanges or between individual shareholders.

References:

* SEC Mutual Fund Basics: SEC Mutual Funds.

NEW QUESTION # 185

An investor sells shares of a closed-end fund at the market. Which of the following responses best describes the net proceeds to be received?

- A. Net asset value (NAV)
- B. NAV less any redemption fee
- C. Public offering price (POP) less any redemption fee
- **D. Bid price less any commission**

Answer: D

Explanation:

Step by Step Explanation:

* Closed-End Funds: Trade on exchanges like stocks, and the investor receives the bid price (market price) minus any applicable commissions.

* Incorrect Options:

* A & B: NAV applies to open-end mutual funds, not closed-end funds.

* D: POP applies to initial sales of mutual fund shares.

SEC Guidance on Closed-End Funds: SEC Closed-End Funds.

NEW QUESTION # 186

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