

SIE Test Questions Vce - SIE Upgrade Dumps

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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Students are given a fixed amount of time to complete each test, thus FINRA Exam Questions candidate's ability to control their time and finish the FINRA SIE exam in the allocated time is a crucial qualification. Obviously, this calls for lots of practice. Taking Test4Cram SIE Practice Exam helps you get familiar with the Securities Industry Essentials Exam (SIE) (SIE) exam questions and work on your time management skills in preparation for the real Securities Industry Essentials Exam (SIE) (SIE) exam.

FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including registration and continuing education for associated persons. Candidates must understand the distinction between registered and non-registered individuals and the requirements for maintaining industry qualifications.
Topic 2	<ul style="list-style-type: none"> 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 3	<ul style="list-style-type: none"> 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.
Topic 4	<ul style="list-style-type: none"> 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 5	<ul style="list-style-type: none"> 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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q341-Q346):

NEW QUESTION # 341

A customer purchases \$3,000 of XYZ, which settles today in a margin account. The customer has no other positions or balances. According to initial margin requirements, what is the amount of the required deposit?

- A. \$2,000
- B. \$2,500
- C. \$1,500
- D. \$3,000

Answer: A

Explanation:

Under Federal Reserve Regulation T, customers must deposit at least 50% of the purchase price for margin trades. However, the minimum deposit requirement is \$2,000, regardless of the 50% rule, if the account is below this threshold.

* 50% of \$3,000 = \$1,500.

* Since \$1,500 is less than the \$2,000 minimum, the customer must deposit the full \$2,000.

* B is correct because \$2,000 is the required minimum deposit.

* A is incorrect because the \$1,500 calculation does not meet the minimum.

* C and D are incorrect because they exceed the minimum deposit requirement.

Reference: Federal Reserve Regulation T; SIE Study Guide, Chapter 4: Margin Accounts

NEW QUESTION # 342

Under SEC Regulation D, which of the following parties is considered an accredited investor?

- A. A charitable organization, partnership, or corporation whose assets exceed \$2.5 million.
- B. A person whose joint income with their spouse exceeds \$200,000 in each of the two most recent years and who has a reasonable expectation of reaching the same income level in the current year.
- C. A person whose net worth, excluding the net equity in their primary residence, exceeds \$500,000 at the time of purchase.
- **D. A person whose net worth, excluding the net equity in their primary residence, exceeds \$1 million at the time of purchase.**

Answer: D

Explanation:

Step by Step Explanation:

* Definition of Accredited Investor: As per SEC Regulation D, Rule 501, an accredited investor includes:

* Individuals with a net worth exceeding \$1 million (excluding primary residence equity).

* Individuals with an annual income exceeding \$200,000 (or \$300,000 jointly with a spouse) for the past two years.

* Elimination of Incorrect Answers:

* \$500,000 threshold (option B) is too low to qualify under Regulation D.

* Option D is incorrect as it requires assets of \$5 million, not \$2.5 million.

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SEC Regulation D, Rule 501 (Accredited Investor Definition): SEC Regulation D.

NEW QUESTION # 343

A municipal securities dealer makes a political contribution of \$990 to a local mayoral candidate. At the end of the quarter, to whom, if anyone, must the dealer report the contribution?

- **A. MSRB**
- B. SEC
- C. FINRA
- D. No disclosure required as the amount is below the reporting threshold

Answer: A

Explanation:

Political contributions by municipal securities dealers are primarily governed and tracked under MSRB rules, most notably the framework associated with pay-to-play restrictions and political contribution reporting. The core regulatory concern is that political contributions to officials of municipal issuers could improperly influence (or appear to influence) the awarding of municipal securities business. To address that concern, MSRB rules require municipal securities dealers to maintain controls and to report certain political contributions on a periodic basis, which is why the appropriate reporting destination in this question is the MSRB.

The dollar amount here (\$990) is significant enough that it is not a "de minimis" type of contribution in typical exam logic. On the SIE, you are generally expected to recognize that municipal securities political contribution reporting and related restrictions fall squarely within the MSRB's regulatory scope for municipal market participants. The quarterly timing in the question is also a clue: municipal political contribution reporting is commonly framed as a quarterly reporting obligation to the MSRB, rather than something reported to the SEC or FINRA as the primary recipient. FINRA regulates broker-dealers broadly, and the SEC oversees securities markets and can enforce laws, but municipal-market political contribution reporting requirements are a hallmark MSRB topic.

Choice D is incorrect because the question implies that reporting is required and tests your knowledge of the correct regulator rather than exempting the activity. Choice A and C are distractors designed to pull you toward "big umbrella" regulators; for municipal securities dealer political contribution reporting, the best answer is MSRB.

NEW QUESTION # 344

Callable preferred stock is most likely to be called when interest rates are:

- A. fluctuating.
- B. stable.
- C. rising.
- **D. falling.**

Answer: D

Explanation:

Callable preferred stock is most likely to be called when interest rates are falling, which makes choice C correct. The "call" feature gives the issuer the right (but not the obligation) to redeem the preferred stock at a stated call price after a certain date. Issuers tend

to exercise call provisions when it becomes economically beneficial-most commonly when they can refinance or replace the outstanding security with a new issue that has a lower dividend rate (lower cost of capital).

When interest rates fall, newly issued preferred stock (and other income-focused securities) can often be sold with lower dividend yields because investors will accept lower yields in a lower-rate environment. If the issuer has older preferred shares outstanding that pay a relatively high dividend, the issuer may choose to call those shares and issue new preferred at a lower rate, reducing financing costs. This is similar to why callable bonds are often redeemed when rates decline: the issuer can refinance at cheaper levels.

If interest rates are rising (choice B), calling an existing higher-dividend preferred would usually be disadvantageous because a replacement issue would likely require an even higher dividend to attract investors, increasing costs. If rates are stable or merely fluctuating (choices A and D), there is no consistent incentive that makes calling "most likely." The strongest, most tested driver is a declining rate environment.

On the SIE, this question targets call risk and reinvestment risk for investors: when a security is called, investors receive principal back and may be forced to reinvest at lower yields. Understanding the issuer's incentive is key: issuers call when it benefits them, typically when rates fall.

NEW QUESTION # 345

When exercised, an option written on which of the following items must be settled in cash?

- A. Equity index
- B. Exchange-traded funds (ETFs)
- C. Master limited partnership
- D. Preferred stock

Answer: A

Explanation:

Step by Step Explanation:

* Equity Index Options: These are cash-settled because the underlying asset is not a physical security but a theoretical value representing the index.

* Incorrect Options:

* Preferred Stock, Master Limited Partnerships, and ETFs: These involve physical delivery of the underlying asset upon exercise.

References:

* Options Clearing Corporation (OCC) Guidelines: OCC Cash-Settled Options.

NEW QUESTION # 346

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