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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q92-Q97):

NEW QUESTION # 92

Assuming yields are held constant, which of the following statements describes what will occur as a discount bond reaches maturity?

- A. Its price decreases.
- **B. Its price increases.**
- C. Its par value increases.
- D. Its par value decreases.

**Answer: B**

Explanation:

Step by Step Explanation:

\* Discount Bonds: These are issued or traded below par value. Over time, their price moves closer to par as they approach maturity, assuming yields remain constant.

\* Other Options:

\* Par Value Changes: The par value of a bond does not change over time; only its price fluctuates.

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SEC and FINRA Bond Basics: SEC Discount Bonds.

### NEW QUESTION # 93

Which of the following statements is true regarding the ownership of investment company shares held as tenants in common?

- A. All tenants must sign redemption requests.
- B. Any income is distributed evenly among the tenants.
- C. Upon the death of a tenant, all shares in the account are taxable in the estate of the deceased.
- **D. Each tenant has a fractional interest in the investment.**

**Answer: D**

Explanation:

Step by Step Explanation:

\* Tenants in Common: In this arrangement, each tenant owns a fractional interest in the account's assets, which can be unequal depending on the agreement.

\* Income Distribution: Income is distributed based on ownership percentage, not necessarily equally.

\* Redemption Requests: Only the owner of the fractional interest has authority to request redemption for their portion.

\* Estate Taxation: Upon the death of a tenant, only their fractional interest is taxable in their estate.

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FINRA Guidelines on Joint Accounts: FINRA Joint Accounts.

### NEW QUESTION # 94

A registered representative (RR) has a referral relationship with a family friend who is not affiliated with the financial industry. In the absence of a formal agreement, which of the following ways is the RR permitted to compensate the family friend for referrals?

- **A. The RR is permitted to take the family friend out to dinner as a way to say thank you.**
- B. The RR is permitted to pay a flat-rate referral fee to the family friend.
- C. The RR is permitted to give the family friend prepaid credit cards equal to 50% of the commissions earned on the referrals.
- D. The RR is permitted to split commissions with the family friend.

**Answer: A**

Explanation:

FINRA prohibits the payment of referral fees or splitting of commissions with individuals who are not registered with a broker-dealer. However, taking a friend out to dinner as a gesture of gratitude is allowed, as it does not involve cash or monetary compensation directly tied to the referral.

\* C is correct because non-monetary expressions of gratitude (like a dinner) are permitted under FINRA rules.

\* A is incorrect because commission splitting with unregistered individuals is prohibited.

\* B is incorrect because paying referral fees is also prohibited without registration.

\* D is incorrect because giving prepaid credit cards tied to commission income violates compensation rules.

### NEW QUESTION # 95

An investor owns 100 shares of a company's stock and is very interested in electing a particular individual to the board of directors of the corporation. There are 20 individuals running to fill 10 board seats. If the corporation uses the cumulative voting method, what is the maximum number of votes the investor is permitted to cast for this particular director?

- A. 1,000 votes
- B. 100 votes
- C. 2,000 votes
- D. 50 votes

**Answer: A**

Explanation:

In cumulative voting, shareholders can allocate all their votes to a single candidate. The total number of votes is calculated by multiplying the number of shares owned by the number of seats available:

\* Total votes = 100 shares × 10 seats = 1,000 votes.

\* The investor can allocate all votes to one candidate.

\* C is correct because cumulative voting allows all votes to be concentrated.

Reference: SIE Study Guide, Chapter 5: Corporate Governance

### NEW QUESTION # 96

Which of the following listed securities carries voting rights?

- A. Convertible bond
- B. Preferred stock
- C. Common stock
- D. Corporate bond

**Answer: C**

Explanation:

Step by Step Explanation:

\* Common Stock: Holders of common stock typically have voting rights, which allow them to participate in decisions like electing the board of directors or approving major corporate actions.

\* Other Securities:

\* Preferred Stock: Usually does not carry voting rights.

\* Corporate and Convertible Bonds: Debt instruments, so they do not confer voting rights.

References:

\* SEC Guide on Stock Voting Rights: SEC Voting Rights.

### NEW QUESTION # 97

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