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SIE practice exam 75 Questions with Answers 2024

A customer writes an MMM January 70 put at 6. The maximum potential gain on this position is
✓ 600

Your customer is long 1 October 75 put at 2. The customer's maximum gain potential is
✓ 7300

Large time deposits of more than \$100,000 are considered to be found in what part of the money supply?
✓ M3

By purchasing shares of stock in a company, investors can benefit from which of the following?

- An increase in the price of the shares
- An increase in price of the company's debt securities
- An increase in the yield of the company's outstanding debt securities
- The receipt of profits to be distributed
- ✓ An Increase in price of shares and The receipts of profit to be distributed

An offering in which one or more stockholders in the corporation are selling all or a portion of their own shares to the investing public for the first time is known as
✓ a secondary offering

Which of the following is an example of an unsecured debt security?

- Debenture
- Preferred stock
- Mortgage bond
- Income bond
- ✓ Debenture and Income bond

Mutual funds that market directly to the public, using no underwriter and charging no sales charge, are called
✓ No load funds

During the cooling-off period, underwriters of new securities may
accept orders to purchase shares
not accept orders to purchase shares
not accept indications of interest regarding potential purchases of shares
accept indications of interest regarding potential purchases of shares
✓ not accept orders to purchase shares and accept indications of interest regarding potential purchase of shares

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By reviewing these results, you will be able to know and remove your mistakes. These SIE practice exams are created as per the pattern of the Securities Industry Essentials Exam (SIE) (SIE) real examination. Therefore, Securities Industry Essentials Exam (SIE)

(SIE) mock exam takers will experience the real exam environment. It will calm down their nerves so they can appear in the SIE final test without anxiety or fear.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q186-Q191):

NEW QUESTION # 186

Which of the following characteristics best describes a benefit of a variable annuity subaccount?

- A. The account is managed by a third-party custodian and is, therefore, subject to lower management fees than those charged by the insurance company.
- B. The account represents the indebtedness of the insurance company that is subordinated to the claims of general creditors and, therefore, offers investors a higher rate of return.
- C. The account is held at a broker-dealer that is separate from the insurance company, thereby allowing tax-deferred investments in all types of securities products.
- **D. The account is held separately from the insurance company's general account and, therefore, is protected from the claims of general creditors of the insurance company.**

Answer: D

Explanation:

Variable annuity subaccounts are held in separate accounts, distinct from the insurance company's general account. This separation protects subaccount assets from claims by creditors in case the insurance company becomes insolvent.

- * C is correct because the separate account ensures creditor protection.
- * A is incorrect as management fees for variable annuities are often higher.
- * B is incorrect because the subaccounts are not held at broker-dealers.
- * D is incorrect as subaccounts do not represent subordinated debt.

NEW QUESTION # 187

Which of the following responses describes treasury stock?

- A. U.S. government securities held by a corporation
- B. Authorized but unissued stock
- C. Restricted stock owned by officers
- **D. Stock subsequently reacquired by the issuer**

Answer: D

Explanation:

Treasury stock refers to shares that were issued by a company and subsequently repurchased by the company.

These shares are held in the company's treasury and are not considered outstanding.

- * C is correct because treasury stock is stock reacquired by the issuer.
- * A is incorrect because authorized but unissued stock has never been issued.
- * B is incorrect because restricted stock refers to shares issued with restrictions on transferability, not reacquired stock.
- * D is incorrect because it incorrectly refers to government securities, not corporate stock.

NEW QUESTION # 188

A broker-dealer (BD) is required to ensure a hyperlink to BrokerCheck is Included on which of the following communications?

- A. A registered representative's (RR's) outgoing email
- B. An email response to a complaint from a retail customer
- **C. The BD's homepage intended for retail customers**
- D. An RR's social media site that identifies his BD employment

Answer: C

NEW QUESTION # 189

A rating agency downgrades a corporation's credit rating. Which of the following effects is this action most likely to have on the yield and price of the corporation's outstanding bonds?

- A. Yield will fall; price will fall.
- **B. Yield will rise; price will fall.**
- C. Yield will rise; price will rise.
- D. Yield will fall; price will rise.

Answer: B

Explanation:

Step by Step Explanation:

* Credit Downgrade: Increases perceived risk, causing bond prices to drop and yields to rise.

* Yield-Price Relationship: Yields move inversely to bond prices. Lower prices lead to higher yields as investors demand more return for increased risk.

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SEC Guidance on Bond Ratings: SEC Bond Ratings.

NEW QUESTION # 190

Which of the following types of debt securities has the highest liquidity?

- A. Corporate bonds
- B. Municipal bonds
- C. Mortgage bonds
- **D. Treasury bonds**

Answer: D

NEW QUESTION # 191

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