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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q27-Q32):

### NEW QUESTION # 27

Which of the following statements best describes a characteristic of 529 savings plan accounts?

- A. The number of contributors to the account is limited.
- **B. Using funds for undergraduate or graduate studies is permissible.**
- C. There are no contribution limits to the account.
- D. Earnings are taxed to the donor at the time of a qualified withdrawal.

**Answer: B**

Explanation:

Step by Step Explanation:

\* 529 Savings Plans: These plans allow tax-advantaged savings for education expenses. They can be used for both undergraduate and graduate studies, as well as certain K-12 expenses.

- \* Contribution Limits: Contributions are subject to gift tax limits but have no specific statutory maximum under federal law.
- \* Tax Treatment: Earnings grow tax-deferred and are tax-free if used for qualified education expenses.

References:

- \* IRS Section 529 Guidance: IRS 529 Plans.

### NEW QUESTION # 28

Rising economic activity is most likely to increase revenues of which of the following sectors?

- A. Utilities
- B. Healthcare
- C. Consumer discretionary
- D. Consumer staples

**Answer: C**

Explanation:

Step by Step Explanation:

\* Consumer Discretionary Sector: Includes products and services that are not essential, such as luxury items, travel, and entertainment. Revenues increase as disposable income rises during economic expansion.

\* Consumer Staples and Utilities: These sectors are defensive and less impacted by economic cycles.

\* Healthcare: Also less correlated with economic cycles due to its essential nature.

References:

- \* SEC and FINRA Guidance on Sectors: Investopedia Sector Overview.

### NEW QUESTION # 29

Which of the following responses best describes the primary strategy that an investor uses when selling a covered call?

- A. Income generation
- B. Profit guarantee
- C. Speculation
- D. Hedging

**Answer: A**

Explanation:

A covered call involves selling a call option on a stock the investor already owns. The strategy generates income in the form of the premium collected for selling the call, providing additional returns on the stock position.

\* D is correct because the primary goal of a covered call is to generate income.

\* A is incorrect because covered calls do not hedge against large declines in the stock price.

\* B is incorrect because speculation involves taking higher risks, not a covered call's conservative strategy.

\* C is incorrect because no strategy guarantees a profit.

### NEW QUESTION # 30

A customer wants to establish an account for the benefit of his grandchildren. He states to his registered representative that he wants to be able to control the distribution of the assets and direct how the account will be invested. Which of the following account types is most appropriate?

- A. 529 savings plan
- B. UTMA
- C. Trust
- D. Certificate of deposit (CD)

**Answer: C**

Explanation:

Step by Step Explanation:

\* Trust Accounts: Provide the account owner (trustee) full control over distributions and investment decisions. Suitable for complex estate planning needs.

\* Incorrect Options:

\* UTMA: Transfers control to the minor upon reaching the age of majority.

\* 529 Plan: Used for educational savings, with limited control over distributions.

\* CD: A fixed-term deposit, not an account type for managing distributions.

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SEC and FINRA Guidelines on Trusts: FINRA Trust Accounts.

### NEW QUESTION # 31

If an investor is bullish on ABC, which of the following actions will he most likely take?

- A. Sell ABC calls
- **B. Buy ABC stock**
- C. Sell ABC stock short
- D. Buy ABC puts

**Answer: B**

Explanation:

Step by Step Explanation:

\* Bullish Position: Buying ABC stock aligns with the expectation that the stock's price will rise, allowing the investor to profit.

\* Incorrect Options:

\* A: Buying puts is a bearish strategy.

\* C: Selling calls benefits from stable or declining prices.

\* D: Selling short is a bearish strategy anticipating a price drop.

References:

\* FINRA Guidance on Market Strategies: FINRA Trading Basics.

### NEW QUESTION # 32

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