

SIE Reliable Practice Questions & SIE Exam Training Material & SIE Pdf Vce

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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SIE Valid Test Duration, Reliable SIE Test Syllabus

PrepAwayETE also has a FINRA Practice Test engine that can be used to simulate the genuine Securities Industry Essentials Exam (SIE) (SIE) exam. This online practice test engine allows you to answer questions in a simulated environment, giving you a better understanding of the exam's structure and format. With the help of this tool, you may better prepare for the Securities Industry Essentials Exam (SIE) (SIE) test.

FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<ul style="list-style-type: none">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 3	<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.
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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q74-Q79):

NEW QUESTION # 74

A broker-dealer (BD) creates a marketing postcard that includes a statement regarding FINRA's endorsement of the BD. Which of the following responses is true?

- A. The statement regarding FINRA's endorsement is not permissible.
- B. The statement is permissible if the statement is approved in writing by FINRA prior to use.
- C. The statement is permissible if a principal of the BD approves it in writing prior to use.
- D. The statement is permissible if the postcard does not discuss specific investment opportunities.

Answer: A

Explanation:

Step by Step Explanation:

* FINRA Rule 2210: Firms are prohibited from suggesting or implying FINRA's endorsement or approval in any advertising materials.

* Approvals: Even if a principal or FINRA approves the content, such a statement remains impermissible.

* Key Point: FINRA's role is to regulate, not to endorse firms or their marketing.

References:

* FINRA Rule 2210 (Communications with the Public): FINRA Rule 2210.

NEW QUESTION # 75

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

Answer: D

Explanation:

Step by Step Explanation:

* MSRB Rule G-37: Requires municipal securities dealers to report contributions to the MSRB, even if the amount is below the \$1,000 threshold that would trigger a two-year prohibition on municipal business.

* Incorrect Options:

* SEC and FINRA: Not involved in reporting political contributions for municipal securities.

References:

* MSRB Rule G-37 (Political Contributions): MSRB Rule G-37.

NEW QUESTION # 76

Under FINRA rules, which of the following activities is not considered an outside business activity (OBA)?

- A. Selling health insurance
- B. Selling real estate
- C. Professionally refereeing athletic events
- D. **Passively investing in a multifamily house for rental purposes**

Answer: D

Explanation:

Step by Step Explanation:

* Outside Business Activity Definition: Per FINRA Rule 3270, an OBA involves compensated business activities outside the scope of the RR's role at their firm. Passive investments are excluded because they do not require active involvement.

* Incorrect Options:

* A, B, and C: Selling real estate, selling insurance, and refereeing are considered OBAs as they involve active participation and compensation.

References:

* FINRA Rule 3270 (Outside Business Activities): FINRA Rule 3270.

NEW QUESTION # 77

Which of the following rates is subject to the most frequent changes?

- A. Prime
- B. Call loan
- C. Discount
- D. **Federal funds**

Answer: D

Explanation:

The federal funds rate, which is the interest rate banks charge each other for overnight loans, changes frequently due to daily fluctuations in bank reserves and market conditions.

* D is correct as it is the most sensitive to short-term market forces.

* A, B, and C change less frequently.

Reference: SIE Study Guide, Chapter 2: Interest Rates

NEW QUESTION # 78

A registered representative (RR) owns 500 shares of a thinly traded security. A customer of the firm calls the RR to place a sell order for 10,000 shares of the same security. The RR sells his shares before entering the customer's order to sell. Which of the following activities has the RR just engaged in?

- A. Market manipulation
- B. **Front running**
- C. Selling away
- D. Insider trading

Answer: B

Explanation:

Step by Step Explanation:

* Front Running Definition: Occurs when a broker executes a personal trade ahead of a customer's order to profit from the anticipated market movement.

* Thinly Traded Security: Front running is particularly impactful in low-liquidity securities.

* Other Options:

* Selling Away: Involves unapproved securities transactions outside the employing firm.

* Insider Trading: Involves trading on material non-public information.

* Market Manipulation: Encompasses activities like wash trading or spoofing, not specific to this scenario.

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FINRA Rule 5270 (Front Running of Block Transactions): FINRA Rule 5270.

NEW QUESTION # 79

In actuality, the test center around the material is organized flawlessly for self-review considering the way that the competitors who are working in FINRA working conditions don't get the sufficient opportunity to go to classes for Securities Industry Essentials Exam (SIE) certification. Thusly, they need to go for self-study and get the right test material to fire scrutinizing up for the Securities Industry Essentials Exam (SIE) (SIE) exam. By utilizing FINRA SIE dumps, they shouldn't stress over any additional assistance with that.

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