

FINRA SIE Exam Dumps | SIE Reliable Test Practice

FINRA SIE Practice Test| 75 Questions| With Complete Solutions

Upon Expiration, all in-the-money S&P 100 Index call options are settled by the delivery of which of the following? correct answer: Cash

Which of the following statements is true about treasury stock? correct answer: It is issued stock that has been subsequently reacquired by the corporation

In the event of a stock split, which of the following parties is required to maintain a record of the shareholders eligible to receive the additional shares? correct answer: Transfer Agent

Which of the following actions is required of a broker-dealer's anti-money laundering (AML) program? correct answer: Designating an AML compliance officer

A registered representative (RR) wants to participate in a private securities transaction. Which of the following actions must the RR take? correct answer: Send written notice to his supervisor outlining the activity and compensation structure

A customer BUYS a 1 ABC Jan 35 PUT for a premium of \$3 and simultaneously buys 100 shares of ABC stock for \$35 per share. The customer will break even when the stock is selling at what price per share at expiration? correct answer: \$38

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<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 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"> • 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.

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

NEW QUESTION # 186

Which of the following is the primary risk of using asset allocation models without periodic rebalancing?

- A. Marketability
- B. Interest rate risk
- C. Overweighting
- D. Inflation

Answer: C

Explanation:

Step by Step Explanation:

* Rebalancing: Ensures that a portfolio remains aligned with its target allocation. Without rebalancing, outperforming assets can become overweighted, increasing exposure to specific risks.

* Incorrect Options:

* Inflation: Impacts purchasing power but isn't tied to rebalancing.

* Marketability: Refers to liquidity and isn't linked to allocation models.

* Interest Rate Risk: Relates to fixed-income investments and isn't directly addressed by allocation models.

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SEC Investor Bulletin on Asset Allocation: SEC Asset Allocation.

NEW QUESTION # 187

Under which of the following circumstances, if any, is a registered representative (RR) permitted to share in the profits and losses of security interests that the RR has purchased jointly with a customer?

- A. Under no circumstances
- B. Only if the RR's firm is also a participant in the sharing arrangement

- C. When the profits and losses are proportionate to the amount contributed by the RR
- D. Only when the customer is an accredited investor

Answer: C

Explanation:

Under FINRA Rule 2150, registered representatives may share in profits and losses in a customer's account if:

- * The customer provides written consent.
- * The arrangement is approved by the RR's firm.
- * The sharing is proportional to the RR's financial contribution.
- * C is correct because it aligns with FINRA requirements.
- * A, B, and D are incorrect because they do not meet the necessary conditions for sharing.

NEW QUESTION # 188

A market maker displays the following ABC stock quote: 25.05 - 25.15 (7x5J).

Based upon the quote displayed, the market maker sells all the available shares of a 1,200-share market order to buy ABC stock. How many shares must be sold at the price of \$25.15?

- A. 0
- B. 1
- C. 2
- D. 3

Answer: C

NEW QUESTION # 189

Which of the following types of accounts permits an investor to borrow money from a broker-dealer to help pay for a trade?

- A. Cash
- B. Margin
- C. Delivery versus payment (DVP) / receive versus payment (RVP)
- D. An individual retirement account (IRA)

Answer: B

Explanation:

Step by Step Explanation:

- * Margin Accounts: Allow investors to borrow funds to purchase securities, with the securities serving as collateral for the loan.
- * Cash Accounts: Require full payment for securities purchased.
- * IRAs: Do not permit borrowing due to their tax-advantaged status.
- * DVP/RVP: Settlement mechanisms, not account types for borrowing.

References:

- * FINRA Rule 4210 (Margin Requirements): FINRA Rule 4210.

NEW QUESTION # 190

A registered representative must complete which of the following activities when entering a discretionary trade?

- A. Indicate that discretion was exercised on the order ticket to be identified for supervisory review
- B. Only exercise discretion over market orders
- C. Receive instructions from the customer as to the price at which to buy or sell a security
- D. Obtain authorization from the customer before each discretionary order is entered

Answer: A

Explanation:

FINRA Rule 3260 requires that discretionary trades be approved by the customer in writing and reviewed by the supervising firm. The order ticket must indicate that discretion was exercised to ensure proper oversight.

- * B is correct because marking the order ticket ensures compliance with supervisory requirements.

* A is incorrect because discretionary authority is not limited to market orders.

* C is incorrect as discretionary trades do not require pre-approval for each trade but require prior written authorization.

* D is incorrect because discretionary authority allows the RR to decide on price and timing without specific customer instructions.

Reference: FINRA Rule 3260 (Discretionary Accounts)

NEW QUESTION # 191

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