

Specifications of FINRA SIE Practice Exam Software

FINRA Practice SIE Exam | with complete solution

The redemption value of an open-end investment company's shares is based on the:
previous offering price
previous closing NAV
NAV computed after the order is received
offering price computed after the order is received - NAV computed after the order is received
The computation of dollar prices and accrued interest on municipal bonds is normal on what calendar basis?
30/360
30/365
Actual/360
Actual/365 - 30/360
Blue-sky laws are regulated by which of the following entities?
SEC
MSRB
FINRA
state securities regulators - State securities regulators
At the time of issuance, which of the following securities normally has the longest period to expiration?
Rights
Options
Warrants
Repurchase agreements - Warrants
Regular way settlement on Treasury Bonds is:
same day
next business day
second business day
fifth business day - next business day
A firm is a participant in a public offering. To sell a substantial amount of the securities to its customers, the firm agrees to repurchase the shares at no less than the original sales price. Such agreements are:
prohibited as fraudulent and manipulative.
Permissible if the securities are deposited into escrow.
prohibited unless the firm immediately sets aside funds for the repurchase
permissible if the customers retain the right to sell the securities into the open market. - prohibited as fraudulent and manipulative
Under SEC S-P (Consumer Privacy), which of the following information must a firm include in its customer privacy and opt-out notices?
the address of the firm's website
the fee to opt out from the privacy program
the deadline by which to opt out from the privacy program

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The cost of registering a FINRA SIE certification is quite expensive, ranging between \$100 and \$1000. After paying such an amount, the candidate is sure to be on a tight budget. Pass4guide provides FINRA SIE preparation material at very low prices compared to other platforms. We also assure you that the amount will not be wasted and you will not have to pay for the certification a second time. For added reassurance, we also provide up to 1 year of free updates. Free demo version of the actual product is also available so that you can verify its validity before purchasing. The key to passing the SIE Exam on the first try is vigorous practice. And that's exactly what you'll get when you prepare from our material. Each format excels in its own way and helps you get success on the first attempt.

FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 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-til-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
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.

>> SIE Valid Exam Blueprint <<

Study Materials SIE Review & SIE Training Pdf

Maybe on other web sites or books, you can also see the related training materials. But as long as you compare Pass4guide's product with theirs, you will find that our product has a broader coverage of the certification exam's outline. You can free download part of exam practice questions and answers about FINRA certification SIE exam from Pass4guide website as a try to detect the quality of our products. Why Pass4guide can provide the comprehensive and high-quality information uniquely? Because we have a professional team of IT experts. They continue to use their IT knowledge and rich experience to study the previous years exams of FINRA SIE and have developed practice questions and answers about FINRA SIE exam certification exam. So Pass4guide's newest exam practice questions and answers about FINRA certification SIE exam are so popular among the candidates participating in the FINRA certification SIE exam.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q243-Q248):

NEW QUESTION # 243

Which of the following responses describes a common feature of a hedge fund?

- A. Low liquidity for investors
- B. Transparent as to the underlying investments and strategies
- C. Low minimum investment requirement
- D. Primarily focused on fixed income investments

Answer: A

Explanation:

Step by Step Explanation:

* Low Liquidity: Hedge funds often impose lock-up periods and restrict redemptions, leading to low liquidity for investors.

* Incorrect Options:

* B: Hedge funds typically have high minimum investment requirements, often \$1 million or more.

* C: Hedge funds employ diverse strategies, not just fixed income.

* D: Hedge funds are generally opaque about their strategies and holdings to protect their competitive advantage.

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SEC Investor Bulletin on Hedge Funds: SEC Hedge Funds.

NEW QUESTION # 244

A bond with a par value of \$1,000 that is backed by the taxing power of a local government is known as:

- A. A general obligation (GO) bond
- B. A revenue bond
- C. A corporate bond
- D. A Treasury bond

Answer: A

Explanation:

Step by Step Explanation:

* General Obligation (GO) Bonds: Backed by the full faith and credit of the issuing municipality, relying on its taxing power for repayment.

* Revenue Bonds: Supported by revenues from a specific project or source.

* Treasury Bonds: Issued by the federal government.

* Corporate Bonds: Issued by corporations, not municipalities.

References:

* SEC Municipal Bond Guide: SEC GO Bonds.

NEW QUESTION # 245

Which of the following responses describes a collateralized mortgage obligation (CMO) tranche?

- A. The estimated average life of the CMO expressed in years and months
- B. The method of underwriting used by the issuer to securitize the loans in the portfolio
- C. The yield a customer should expect if the CMO is held to maturity
- D. A slice of the investment representing a coupon rate, maturity date, and credit rating

Answer: D

Explanation:

CMOs are divided into tranches, which are portions of the pool of mortgage-backed securities. Each tranche has its own characteristics, including coupon rate, maturity date, and credit rating, tailored to meet the needs of different investors.

* C is correct because tranches represent slices of the investment with specific terms.

* A is incorrect because the yield depends on prepayment rates and interest rate changes.

* B is incorrect as average life is an estimate, not a defining characteristic of a tranche.

* D is incorrect because underwriting is unrelated to the definition of a tranche.

NEW QUESTION # 246

Which of the following terms describes an offer to purchase some or all shareholders' shares in a corporation, usually at a premium to the market price?

- A. Tender
- B. Stock split
- C. Class action
- D. Redemption

Answer: A

Explanation:

Step by Step Explanation:

* Tender Offer Definition: A tender offer is an offer to purchase a certain number of shares from shareholders, typically at a price above the current market value. This is often part of mergers, acquisitions, or corporate takeovers.

* Stock Split: A stock split increases the number of shares but decreases the price per share without affecting the total value of an investor's holdings.

* Redemption: Redemption refers to the repayment of a bond or preferred stock at maturity or at a predetermined date.

* Class Action: A class action is a lawsuit filed by a group of people with similar grievances.

SEC Rule 14e on tender offers: SEC Tender Offers.

NEW QUESTION # 247

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

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

Answer: A

NEW QUESTION # 248

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