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83 SIE Practice Exam Questions with Correct Answers

A broker-dealer is permitted to accept payment for a new issue from a new customer when the: >>>**registration is effective**

Which of the following actions is required when a firm receives cash in excess of \$10,000 from one customer in one business day? >>>**File a Currency Transaction Report (CTR)**

A transaction in which a writer covers a position by purchasing an option is called? >>>**a closing purchase**

A customer has a cash balance in her account together with long positions in several securities. She has made no securities transactions in the account during the past 18 months. How often must the firm send her an account statement? >>>**Quarterly**

To offer its shareholders a privilege to obtain its shares at a fixed price, which of the following products does a corporation issue? >>>**Rights**

Which of the following responses describes an advantage of index funds? >>>**Lower management fees due to passive management of the fund**

Blue-sky laws are regulated by which of the following entities? >>>**State securities regulators**

Company ABC announces a 20% stock dividend for its common shareholders. If a customer holds 1,000 shares at \$50.00, what is the new price and number of shares following the payment of the stock dividend? >>>**1,200 shares at \$41.67**

An associated person who is not a registered representative is permitted to engage in which of the following activities? >>>**Provide account opening forms to a new customer**

Which of the following security types provides investors with a stated maturity date, a floating interest rate, and an option to put the security back to a financial intermediary on a daily weekly basis? >>>**Variable rate demand note**

The primary purpose of a syndicate desk in the context of an equity offering is to: >>>**Build an order book and allocate the stock**

At the time of issuance, which of the following securities normally has the longest period to expiration? >>>**Warrants**

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Pure Storage FlashArray Architect Associate Sample Questions (Q47-Q52):

NEW QUESTION # 47

A customer is looking for a new storage system with the following requirements:

- * 20 TB of file shares
- * Support 800 TB of Wols
- * Low cost per GB
- * CloudSnap utilization in the future

Which Pure Storage platform should be recommended?

- A. Cloud Block Store
- B. FlashArray//X
- C. FlashBlade//S
- D. **FlashArray//C**

Answer: D

Explanation:

The customer is looking for a storage system that supports 20 TB of file shares, 800 TB of workloads, has a low cost per GB, and can utilize CloudSnap in the future. The best recommendation is FlashArray//C.

Why This Matters:

FlashArray//C:

FlashArray//C is designed for capacity-optimized workloads, making it ideal for use cases requiring large amounts of storage at a lower cost per GB compared to higher-performance arrays like FlashArray//X.

It supports QLC flash technology, which provides high density and cost efficiency for less performance-intensive workloads.

CloudSnap is fully supported on FlashArray//C, enabling snapshots to be offloaded to public cloud storage for disaster recovery or archival purposes.

Why Not the Other Options?

A). FlashArray//X:

FlashArray//X is optimized for high-performance workloads, such as databases and mission-critical applications. While it supports CloudSnap, it is more expensive and not the most cost-effective solution for large-scale capacity needs.

C). Cloud Block Store:

Cloud Block Store is a cloud-native block storage solution that runs in public clouds (e.g., AWS, Azure). It does not meet the requirement for on-premises storage with file shares and CloudSnap utilization.

D). FlashBlade//S:

FlashBlade//S is designed for file and object storage but is typically used for high-performance, unstructured data workloads. It is more expensive than FlashArray//C and not necessary for this use case.

Key Points:

FlashArray//C: Provides high-density storage at a low cost per GB, ideal for large-scale workloads.

CloudSnap Support: Enables offloading snapshots to the cloud for disaster recovery or archival purposes.

Cost Efficiency: Balances performance and cost, making it suitable for file shares and large datasets.

Reference: Pure Storage FlashArray//C Documentation: "Use Cases for FlashArray//C" Pure Storage Whitepaper: "Optimizing Storage Costs with FlashArray//C" Pure Storage Knowledge Base: "Choosing the Right FlashArray Model for Your Workload"

NEW QUESTION # 48

Which Evergreen/Forever benefit allows a customer to trade in an existing 12 TB shelf for a new 60 TB shelf while only paying for a 48 TB increase?

- A. Flat is Fair Maintenance
- B. Love Your Storage
- C. **Right-Size Guarantee**
- D. Capacity Consolidation

Answer: C

Explanation:

The Right-Size Guarantee is an Evergreen/Forever benefit that allows customers to trade in existing storage shelves for newer, higher-capacity shelves while only paying for the incremental capacity increase. In this scenario, the customer can trade in a 12 TB shelf for a 60 TB shelf and only pay for the additional 48 TB of capacity.

Why This Matters:

The Right-Size Guarantee ensures that customers can upgrade their storage infrastructure without overpaying for capacity they

already own. This aligns with Pure Storage's commitment to providing flexible and cost-effective storage solutions. By leveraging this benefit, the customer can modernize their storage environment while optimizing costs.

Why Not the Other Options?

A). Capacity Consolidation:

Capacity Consolidation refers to the ability to consolidate workloads onto fewer arrays or shelves, but it does not specifically address trading in existing shelves for higher-capacity ones at a reduced cost.

B). Flat is Fair Maintenance:

Flat is Fair Maintenance ensures predictable and consistent maintenance pricing over time, but it does not apply to upgrading or trading in storage shelves.

D). Love Your Storage:

Love Your Storage is a program that provides hardware upgrades and enhancements, but it does not directly relate to trading in shelves for capacity increases.

Key Points:

Right-Size Guarantee: Allows customers to trade in existing shelves for higher-capacity shelves at a reduced cost.

Cost Optimization: Ensures customers only pay for the incremental capacity increase, reducing total cost of ownership (TCO).

Evergreen Benefits: Part of Pure Storage's commitment to delivering flexible and future-proof storage solutions.

Reference: Pure Storage Evergreen/Forever Documentation: "Understanding the Right-Size Guarantee" Pure Storage Whitepaper: "Evergreen Architecture and Subscription Benefits" Pure Storage Knowledge Base: "How to Leverage the Right-Size Guarantee"

NEW QUESTION # 49

A System Administrator has a FlashArray//X70R3. They need to add a backup element as part of their data protection strategy.

They have the following requirements:

- * The solution should be offsite
- * Cost needs to be kept as low as possible
- * The backup needs to be stored in a different location from their current FlashArray
- * Restore times are not a concern

Which solution should the SE recommend to the System Administrator?

- A. ActiveDR to a FlashArray//C60
- B. ActiveCluster to a FlashArray//C60
- C. **CloudSnap to a public cloud provider**

Answer: C

Explanation:

The System Administrator requires an offsite backup solution that is cost-effective, stores data in a different location from the current FlashArray, and does not prioritize restore times. The best solution to recommend is CloudSnap to a public cloud provider.

Why This Matters:

CloudSnap:

CloudSnap is a feature that offloads snapshots to cloud storage providers like AWS S3 or Azure Blob.

It is highly cost-effective because customers only pay for the cloud storage they use, and it eliminates the need for additional on-premises hardware.

Since restore times are not a concern, CloudSnap's slower restore process compared to on-premises solutions is acceptable.

Why Not the Other Options?

A). ActiveCluster to a FlashArray//C60:

ActiveCluster provides synchronous replication for high availability but does not meet the requirement for an offsite backup solution. Additionally, it is more expensive than CloudSnap.

B). ActiveDR to a FlashArray//C60:

ActiveDR provides asynchronous replication for disaster recovery but requires additional hardware (FlashArray//C60), which increases costs. It is less cost-effective than CloudSnap for backup purposes.

Key Points:

Cost Efficiency: CloudSnap leverages cloud storage, minimizing upfront and ongoing costs. Offsite Storage: Ensures backups are stored in a different location from the primary FlashArray. Restore Times: CloudSnap's slower restore process is acceptable given the customer's requirements.

Reference: Pure Storage FlashArray Documentation: "CloudSnap for Offsite Backups" Pure Storage Whitepaper: "Cost-Effective Backup Strategies with FlashArray" Pure Storage Knowledge Base: "Choosing the Right Backup Solution for Your Workload"

NEW QUESTION # 50

A customer is unsatisfied because the level of data reduction on their FlashArray is NOT as high as expected. What two statements should the SE make to the customer? (Choose two.)

- A. The Right-Size Guarantee means that the customer can work with their SE if necessary.
- B. FlashArray's deduplication effectiveness will usually increase as the data quantity grows.
- C. FlashArray data reduction needs to be tuned to increase its effectiveness.
- D. A FlashArray's compression and deduplication will need to be tuned for data subsets.

Answer: A,B

Explanation:

If a customer is unsatisfied with the level of data reduction on their FlashArray, the SE should make the following two statements:

FlashArray's deduplication effectiveness will usually increase as the data quantity grows:

Deduplication relies on identifying and eliminating duplicate data blocks. As more data is written to the array, the likelihood of finding duplicates increases, improving the overall deduplication ratio.

Customers should expect better data reduction results over time as their dataset grows.

The Right-Size Guarantee means that the customer can work with their SE if necessary:

Pure Storage's Right-Size Guarantee ensures that customers receive the expected effective capacity based on their workload's data reduction profile. If the actual data reduction does not meet expectations, the customer can collaborate with their SE to address the issue and potentially adjust their subscription or configuration.

Why Not the Other Options?

A). A FlashArray's compression and deduplication will need to be tuned for data subsets:

FlashArray's data reduction techniques (compression and deduplication) are automatic and do not require manual tuning. This statement is misleading.

C). FlashArray data reduction needs to be tuned to increase its effectiveness:

Similar to Option A, FlashArray's data reduction mechanisms are fully automated and do not require manual intervention.

Key Points:

Data Growth: Deduplication effectiveness improves as more data is written to the array.

Right-Size Guarantee: Provides assurance that customers can work with their SE to address data reduction concerns.

Automatic Optimization: FlashArray's data reduction features are self-optimizing and do not require manual tuning.

Reference: Pure Storage FlashArray Documentation: "Understanding Data Reduction and Capacity Planning" Pure Storage Whitepaper: "Maximizing Data Reduction with FlashArray" Pure Storage Knowledge Base: "Right-Size Guarantee Terms and Conditions"

NEW QUESTION # 51

A customer has a requirement for 450 TB of block storage to support their tier2 environment where latency is not a concern. The workload is expected to achieve a 4-to-1 data reduction.

Which array and capacity configuration is the minimum required to meet their needs?

- A. FlashArray//X70R3 228 TB
- B. FlashArray//C60R3 878 TB
- C. FlashArray//C60R3 366 TB
- D. FlashArray//C40R3 247 TB

Answer: D

Explanation:

To meet the customer's requirement for 450 TB of block storage with a 4:1 data reduction ratio, we need to calculate the effective usable capacity required and select the appropriate array configuration.

Step-by-Step Calculation:

Effective Usable Capacity Needed:

The workload requires 450 TB of logical storage.

With a 4:1 data reduction ratio, the physical storage required is:

Array Selection:

The selected array must provide at least 112.5 TB of usable capacity after accounting for overhead and RAID protection.

Let's evaluate the options:

A). FlashArray//C40R3 247 TB:

The FlashArray//C40R3 provides 247 TB of raw capacity. After accounting for overhead (typically ~20%), the usable capacity is approximately: $247\text{TB} \times 0.8 = 197.6\text{TB}$.

This exceeds the required 112.5 TB, making it a valid option.

B). FlashArray//C60R3 878 TB:

The FlashArray//C60R3 provides 878 TB of raw capacity, which is significantly larger than needed.

While it meets the requirement, it is not the minimum configuration.

C). FlashArray//X70R3 228 TB:

The FlashArray//X70R3 provides 228 TB of raw capacity. After overhead, the usable capacity is approximately:

Capacity=228TB×0.8=182.4TB.

While this also meets the requirement, it is more expensive than the C40R3.

D). FlashArray//C60R3 366 TB:

The FlashArray//C60R3 with 366 TB of raw capacity is overkill for this requirement and not cost-effective.

Recommendation:

The FlashArray//C40R3 247 TB provides the minimum required usable capacity while meeting the customer's needs.

Final Recommendation:

The correct answer is

A). FlashArray//C40R3 247 TB.

Reference: FlashArray//C Series Product Overview:

FlashArray//C Series

Details the capacity and use cases for FlashArray//C models.

Capacity Planning Guide:

Pure Storage Capacity Planning

Provides guidance on calculating usable capacity based on data reduction ratios.

NEW QUESTION # 52

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