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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q140-Q145):

NEW QUESTION # 140

Offering 403(b) tax-sheltered annuity accounts to which of the following groups is permissible?

- A. Small business owners
- B. Volunteer workers
- C. Active duty military personnel
- D. Employees of a nonprofit hospital

Answer: D

NEW QUESTION # 141

Which of the following statements describes a characteristic of Treasury securities?

- A. They are callable.
- B. They are issued by the U.S. government with a high amount of default risk.
- C. They are FDIC-insured.
- D. They are liquid.

Answer: D

Explanation:

Treasury securities are among the most liquid investments, as they are backed by the U.S. government and trade actively in large

volumes.

- * A is correct because Treasuries are highly liquid, making them easy to buy and sell.
- * B is incorrect because most Treasury securities are not callable.
- * C is incorrect because FDIC insurance applies to bank deposits, not Treasuries.
- * D is incorrect because U.S. government securities have negligible default risk.

NEW QUESTION # 142

A registered representative (RR) opens a new account for a customer whose investment objectives are growth and income. She makes an initial deposit of \$5,500 using a series of money orders drawn from different sources, and she makes no investments for the first 30 days the account is open. At the end of that time, the customer asks to have the funds wired to an account at a different firm as her needs have changed. The RR's first course of action should be to:

- A. Deny the request.
- B. Accept the instructions and wire the funds.
- C. Freeze the account.
- D. Report internally as a suspicious activity.

Answer: D

Explanation:

Step by Step Explanation:

- * Suspicious Activity: The use of multiple money orders, lack of investment activity, and request to wire funds to another firm raise red flags for potential money laundering.
- * FINRA Rules: The RR should escalate the issue by reporting internally and potentially filing a Suspicious Activity Report (SAR).
- * Incorrect Options:
 - * A: Denying the request without investigation may violate customer instructions.
 - * B: Freezing the account requires a valid legal or regulatory basis.
 - * D: Processing the request without investigation could facilitate illegal activity.

References:

- * FINRA Anti-Money Laundering (AML) Guidance: FINRA AML Rules.

NEW QUESTION # 143

Which of the following account registration types is subject to probate upon the death of the account owner?

- A. Joint tenants with right of survivorship (JTWROS)
- B. Irrevocable trust
- C. Individual
- D. Transfer-on-death (TOD)

Answer: C

Explanation:

Accounts held individually are subject to probate, which is the legal process of administering the decedent's estate. Probate determines the distribution of assets according to the deceased's will or state intestacy laws.

- * A is correct because individual accounts require probate to transfer assets.
- * B is incorrect because irrevocable trusts bypass probate.
- * C is incorrect because TOD accounts allow direct transfer of assets to named beneficiaries without probate.
- * D is incorrect because JTWROS accounts transfer ownership to the surviving account holder automatically.

NEW QUESTION # 144

Which of the following statements describes a characteristic of exchange-traded funds (ETFs)?

- A. ETFs are not permitted to be purchased on margin.
- B. **ETF expense ratios are generally lower than those of mutual funds.**
- C. ETFs are purchased and sold daily at net asset value (NAV).
- D. ETFs are offered with front-end or back-end loads.

Answer: B

Explanation:

Step by Step Explanation:

- * ETF Expense Ratios: ETFs generally have lower expense ratios compared to mutual funds due to their passive management style.
- * Incorrect Options:
 - * A: ETFs do not have sales loads; they are traded like stocks.
 - * B: ETFs can be purchased on margin, like other equities.
 - * C: ETFs are traded throughout the day at market prices, not NAV.

References:

- * SEC ETF Fact Sheet: SEC ETF Info.

NEW QUESTION # 145

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