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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">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 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"> 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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q162-Q167):

NEW QUESTION # 162

How does an individual acquire restricted stock?

- A. By participating in an initial public offering (IPO)
- B. By exercising publicly traded warrants
- C. By participating in an SEC Regulation D offering
- D. By exercising an option for exchange-traded calls

Answer: C

Explanation:

Restricted stock refers to securities acquired through private placements, such as those offered under Regulation D. These securities are not registered with the SEC and are subject to holding period restrictions before resale.

* A is correct because Regulation D offerings involve private placements, resulting in restricted stock.

* B is incorrect because IPOs involve publicly traded shares, not restricted stock.

* C and D are incorrect because restricted stock is not obtained through warrants or exchange-traded options.

Reference: SEC Regulation D, Rule 144 (Restricted and Control Securities)

NEW QUESTION # 163

A rating agency downgrades a corporation's credit rating. Which of the following effects is this action most likely to have on the yield and price of the corporation's outstanding bonds?

- A. Yield will fall; price will fall.
- B. Yield will rise; price will fall.
- C. Yield will rise; price will rise.
- D. Yield will fall; price will rise.

Answer: B

Explanation:

Step by Step Explanation:

* Credit Downgrade: Increases perceived risk, causing bond prices to drop and yields to rise.

* Yield-Price Relationship: Yields move inversely to bond prices. Lower prices lead to higher yields as investors demand more return for increased risk.

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SEC Guidance on Bond Ratings: SEC Bond Ratings.

NEW QUESTION # 164

Which of the following statements best describes a characteristic of 529 savings plan accounts?

- A. Earnings are taxed to the donor at the time of a qualified withdrawal.
- B. The number of contributors to the account is limited.
- C. Using funds for undergraduate or graduate studies is permissible.
- D. There are no contribution limits to the account.

Answer: C

NEW QUESTION # 165

Which of the following statements best describes a characteristic of 529 savings plan accounts?

- A. Earnings are taxed to the donor at the time of a qualified withdrawal.
- B. The number of contributors to the account is limited.
- C. Using funds for undergraduate or graduate studies is permissible.
- D. There are no contribution limits to the account.

Answer: C

Explanation:

Step by Step Explanation:

* 529 Savings Plans: These plans allow tax-advantaged savings for education expenses. They can be used for both undergraduate and graduate studies, as well as certain K-12 expenses.

* Contribution Limits: Contributions are subject to gift tax limits but have no specific statutory maximum under federal law.

* Tax Treatment: Earnings grow tax-deferred and are tax-free if used for qualified education expenses.

References:

* IRS Section 529 Guidance: IRS 529 Plans.

NEW QUESTION # 166

An investor generally purchases an open-end mutual fund from which of the following parties?

- A. An existing shareholder
- B. The NYSE
- C. The fund's custodian
- D. The fund's underwriter

Answer: D

Explanation:

Step by Step Explanation:

* Open-End Mutual Funds: Shares are purchased directly from the fund or its underwriter at the current Net Asset Value (NAV), plus any applicable sales charges.

* Custodian: Holds the fund's assets but does not sell shares.

* NYSE and Shareholders: Open-end funds do not trade on exchanges or between individual shareholders.

References:

* SEC Mutual Fund Basics: SEC Mutual Funds.

NEW QUESTION # 167

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