

SIE Reliable Test Review | Practical SIE Information

75 SIE Practice Exam Questions with Correct Answers

Which corporate voting procedure entitles a shareholder to one vote per share, and votes must be divided evenly among the candidates being voted on? >>>Statutory voting

What market refers to the trading of exchange-listed securities in the over-the-counter market? These trades allow institutional investors to trade blocks of securities directly, rather than through an exchange, providing liquidity and anonymity to buyers. >>>Third market

An investor sells a naked call on Omikron for a \$250 premium. What is true regarding the investor's position? >>>The investor's potential loss is unlimited

Which act created the SEC and empowered it with broad authority over all aspects of the securities industry? >>>Securities Exchange Act of 1934

A free tool provided by FINRA that is intended to help consumers research the professional backgrounds of brokers and brokerage firms, as well as investment advisor firms and advisors? >>>BrokerCheck

The Federal Reserve Board performs what actions? >>>It sets monetary policy, but does not set tax policy

An offering of shares to existing stockholders on a pro-rata basis is called a >>>Rights offering

The difference between a bond's price and the conversion parity price is referred to as >>>conversion premium

An individual who meets what criteria must register as an investment adviser? >>>The individual provides advice or analyses concerning securities
The individual is in the business of providing investment advice
The individual provides investment advice for compensation

A type of preferred stock that gives the investor the right to receive dividends equal to the normally specified rate, as well as an additional dividend based on a specific predetermined condition is called a >>>participating preferred stock

Profit sharing plans have what characteristic? >>>they can be invested entirely in company stock

What is true regarding the Central Registration Depository (CRD)? >>>It was developed by NASAA and the NASD
It consolidated a multiple paper-based state licensing and regulatory process into a single, nationwide computer system

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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.
Topic 2	<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 3	<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-till-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q224-Q229):

NEW QUESTION # 224

Before an affiliate of an issuer is permitted to sell 10,000 shares of restricted securities, which of the following conditions must be met?

- A. The shares to be sold must be less than 10% of the average daily trading volume (ADTV) of the security.
- B. The issuer must notify FINRA of the proposed sale by submitting a Form 144.
- C. The affiliate must have a holding period of six months.
- D. The company must be traded on a listed stock exchange.

Answer: C

Explanation:

Step by Step Explanation:

* Rule 144 Holding Period: Restricted securities held by affiliates require a six-month holding period before sale, provided the issuer is subject to SEC reporting requirements.

* Other Options:

* Notification to FINRA (C) is incorrect; Form 144 is submitted to the SEC, not FINRA.

* The 10% ADTV limitation (D) applies to the volume of shares sold, not the conditions for sale.

References:

* SEC Rule 144 (Selling Restricted Securities): SEC Rule 144.

NEW QUESTION # 225

In performing fundamental analysis of an equity, which of the following elements should an investor consider?

- A. Moving average
- B. Resistance and support levels
- C. Financial statements
- D. Chart patterns

Answer: C

Explanation:

Fundamental analysis focuses on evaluating a company's financial health and potential for growth by analyzing its financial statements, such as the income statement, balance sheet, and cash flow statement.

* C is correct because financial statements provide the data necessary for fundamental analysis.

* A and B are incorrect because chart patterns and moving averages are tools of technical analysis, not fundamental analysis.

* Dis incorrect because resistance and support levels are also part of technical analysis.

NEW QUESTION # 226

A summary prospectus for a mutual fund must contain which of the following information?

- A. Control persons and principal owners of the fund
- **B. Investment objectives**
- C. Projected return
- D. Fund's portfolio holdings

Answer: B

Explanation:

Step by Step Explanation:

* Summary Prospectus Content: Must include key information such as the fund's investment objectives, risks, fees, and past performance. This helps investors make informed decisions.

* Incorrect Options:

* A: Projected returns are speculative and not included in the prospectus.

* C & D: Detailed portfolio holdings and control persons are included in the full prospectus, not the summary.

SEC Rule 498 (Summary Prospectuses): SEC Prospectus Requirements.

NEW QUESTION # 227

When is it permissible to exercise European-style options contracts?

- A. Only on the third Friday of every month
- **B. Only on the day of expiration**
- C. Only on the last business day before expiration
- D. Only on the day after expiration

Answer: B

Explanation:

Step by Step Explanation:

* European-Style Options: Can only be exercised on their expiration date, unlike American-style options, which can be exercised any time before expiration.

* Incorrect Options:

* A: Not accurate; the exercise must occur specifically on the expiration date.

* C: Options cannot be exercised after expiration.

* D: The expiration date depends on the option contract, not a specific weekday.

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Options Clearing Corporation (OCC) Guidelines: OCC European Options.

NEW QUESTION # 228

A real estate investment trust (REIT) is required to invest what percentage of total assets in real-estate-related assets to maintain favorable tax treatment?

- A. 100% of assets
- B. At least 50% of total assets
- **C. At least 75% of total assets**
- D. At least 90% of total assets

Answer: C

Explanation:

Step by Step Explanation:

* REIT Requirements: REITs must invest at least 75% of their total assets in real estate to qualify for favorable tax treatment under IRS regulations.

* 90% Rule: Refers to the distribution requirement for taxable income, not asset allocation.

* 100% Rule: There is no requirement to allocate 100% of assets to real estate.
IRS Publication 542 (Real Estate Investment Trusts): IRS REIT Guidelines.

NEW QUESTION # 229

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