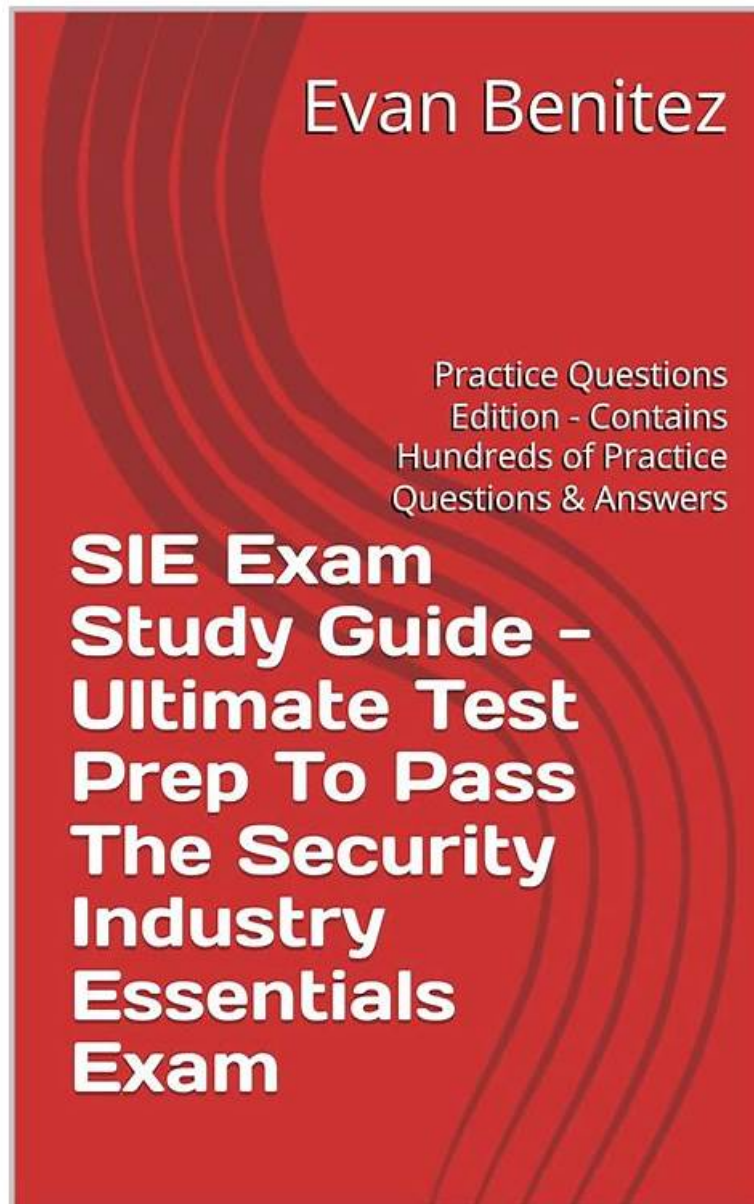


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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q168-Q173):

### NEW QUESTION # 168

When must a firm disclose its business continuity plan?

- A. Within 60 days of account opening
- **B. At account opening**
- C. During a business disruption
- D. Only upon request from a customer

**Answer: B**

Explanation:

A broker-dealer must disclose business continuity plan information to customers at account opening. The disclosure must explain how the firm intends to respond to events that could significantly disrupt business operations, such as natural disasters, technology failures, loss of facilities, or other emergencies. The purpose is not to give customers every operational detail, but to provide meaningful information about how the firm plans to continue or resume critical business functions. Choice A is correct because account opening is the required timing. Choice B is incorrect because waiting until a disruption occurs would defeat the purpose of advance disclosure. Choice C is incorrect because the rule does not set a 60-day post-opening disclosure deadline. Choice D is incomplete because a firm must provide the disclosure at account opening and also make it available in other required ways, such as upon request. The SIE outline includes business continuity plans under books and records and privacy requirements, and lists FINRA Rule 4370, Business Continuity Plans and Emergency Contact Information. Reference: Section 3.2.4 Books and Records and Privacy Requirements; FINRA Rule 4370.

### NEW QUESTION # 169

An investor purchases a Sep 30 XYZ call for a premium of 5. What will the investor pay for this option?

- A. \$5
- B. \$30
- **C. \$500**
- D. \$3,000

**Answer: C**

Explanation:

The correct answer is C, \$500. In options trading, the quoted premium is given on a per-share basis, but each standard options contract represents 100 shares of the underlying stock.

Step 1: Identify the premium. The premium is quoted as 5, which means \$5 per share.

Step 2: Determine the contract size. One standard equity option contract controls 100 shares.

Step 3: Calculate the total cost.

$\$5 \times 100 \text{ shares} = \$500 \text{ total premium paid}$

This means the investor must pay \$500 to purchase the call option.

Choice A (\$5) is incorrect because it reflects only the per-share premium, not the total contract cost. Choice B (\$30) incorrectly uses the strike price (30), which is unrelated to the premium paid. Choice D (\$3,000) incorrectly multiplies the strike price by 100, which represents the exercise value, not the premium.

For the SIE exam, it is essential to remember that all listed equity options are quoted per share but traded in contracts of 100 shares, so always multiply the premium by 100 to find the total cost.

Thus, the correct total payment is \$500, making answer C correct.

### NEW QUESTION # 170

Under which of the following circumstances, if any, is a member firm permitted to send gifts to registered representatives (RRs) of another member firm?

- A. No single gift exceeds \$100; maximum value of all gifts per RR per year is \$200
- B. Under no circumstance
- C. Value of all gifts to an RR during a period of one year does not exceed \$100
- D. No single gift exceeds \$100; no limit on the number of gifts

**Answer: C**

Explanation:

FINRA Rule 3220 prohibits member firms from giving gifts exceeding \$100 per individual per year to ensure that gifts do not influence business conduct. The rule applies to gifts given in connection with the firm's business.

\* C is correct because it adheres to FINRA's \$100 annual limit.

\* A is incorrect because the total value of gifts must also not exceed \$100 annually.

\* B is incorrect as there is no \$200 limit.

\* D is incorrect as gifts are allowed within the \$100 limit.

Reference: FINRA Rule 3220 (Influencing or Rewarding Employees of Others)

### NEW QUESTION # 171

An investor sells shares of a closed-end fund at the market. Which of the following responses best describes the net proceeds to be received?

- A. Bid price less any commission
- B. Net asset value (NAV)
- C. NAV less any redemption fee
- D. Public offering price (POP) less any redemption fee

**Answer: A**

Explanation:

Step by Step Explanation:

\* Closed-End Funds: Trade on exchanges like stocks, and the investor receives the bid price (market price) minus any applicable commissions.

\* Incorrect Options:

\* A & B: NAV applies to open-end mutual funds, not closed-end funds.

\* D: POP applies to initial sales of mutual fund shares.

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SEC Guidance on Closed-End Funds: SEC Closed-End Funds.

### NEW QUESTION # 172

Which of the following transactions is most profitable if executed prior to a significant rise in a company's stock price?

- A. Buying a call option
- B. Selling a put option
- C. Buying a put option
- D. Selling a call option

**Answer: A**

Explanation:

Buying a call option gives the investor the right to purchase the stock at a fixed price (strike price). If the stock's price rises significantly, the value of the call option increases, allowing the investor to profit.

\* B is correct because a call option profits directly from a stock price increase.

\* A is incorrect because a put option profits from a stock price decline.

\* C and D are incorrect because selling options limits profit potential and exposes the seller to significant risk if the stock moves unfavorably.

## NEW QUESTION # 173

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