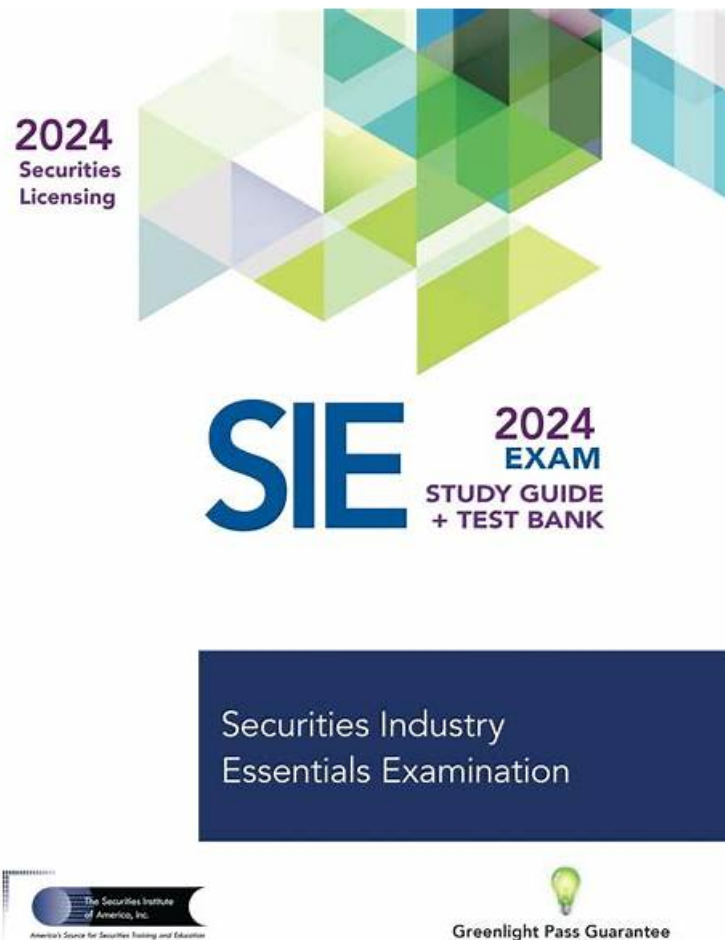


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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q31-Q36):

NEW QUESTION # 31

Pursuant to FINRA rules, which of the following content is inappropriate to link to from a business-related social media site?

- A. A link to information on a mutual fund that discusses previous performance over the last five years
- **B. A link to an investment's website stating the investment's performance over the next five years**
- C. A link to a company's filing on EDGAR that contains information on a press release about the company
- D. A link to the firm's website discussing its products and services

Answer: B

Explanation:

Under FINRA Rule 2210, firms must avoid making predictions or projections of future investment performance.

* B is correct because it involves prohibited predictive statements.

* A, C, and D are acceptable under FINRA guidelines, as they do not involve prohibited content.

Reference: FINRA Rule 2210 (Communications with the Public)

NEW QUESTION # 32

If an investor is bullish on ABC, which of the following actions will he most likely take?

- **A. Buy ABC stock**
- B. Buy ABC puts
- C. Sell ABC stock short
- D. Sell ABC calls

Answer: A

Explanation:

Step by Step Explanation:

* Bullish Position: Buying ABC stock aligns with the expectation that the stock's price will rise, allowing the investor to profit.

* Incorrect Options:

* A: Buying puts is a bearish strategy.

* C: Selling calls benefits from stable or declining prices.

* D: Selling short is a bearish strategy anticipating a price drop.

FINRA Guidance on Market Strategies: FINRA Trading Basics.

NEW QUESTION # 33

A sell stop order for a customer account is entered:

- A. above the current market price.
- **B. below the current market price.**
- C. at the current market price.
- D. either above or below the current market price.

Answer: B

Explanation:

A sell stop order is designed primarily as a downside protection tool for an investor who already owns a position (or is otherwise exposed to price declines). The defining feature is that the stop price is set below the current market price, and the order becomes a market order to sell once the security trades at or through the stop price. That is why the correct answer is B. Investors use sell

stops to attempt to limit losses or protect gains by triggering a sale if the market moves against them beyond a chosen threshold. Choice A is incorrect because a stop order is not entered "at the current market price." If an investor wants immediate execution, they would use a market order (or possibly a marketable limit order). A stop order is specifically contingent on a future price trigger. Choice C is incorrect because setting a sell stop above the current market price would not be consistent with the typical purpose of a sell stop; however, a buy stop is commonly placed above the current market price to protect a short position or to enter a position on upward momentum. Choice D is incorrect because the "either above or below" concept applies when comparing different stop order types (buy stop vs sell stop). For a sell stop, the stop price is characteristically below the current market. This is an SIE core trading concept: recognizing common order types and their intended use. In volatile markets, it's also important to understand that once triggered, a sell stop generally becomes a market order, which means execution price is not guaranteed—especially during fast markets or gaps-making this a key risk/behavioral point about stop orders.

NEW QUESTION # 34

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. There are no contribution limits to the account.
- C. Using funds for undergraduate or graduate studies is permissible.
- D. The number of contributors to the account is limited.

Answer: C

NEW QUESTION # 35

Executing trades using the delivery versus payment (DVP) settlement process requires the buyer to make a cash payment by which of the following deadlines?

- A. No later than 3 days after the securities are delivered
- B. On the 5th business day after execution
- C. By the agreed-upon settlement date with the issuer
- D. Before or at the same time as securities being delivered

Answer: D

Explanation:

Step by Step Explanation:

* DVP Process: Ensures that payment occurs simultaneously with the delivery of securities, mitigating counterparty risk. Cash payment is made before or at the time of delivery.

* Incorrect Options:

* A: The T+5 timeline is not standard for DVP.

* C: Payment must occur at delivery, not after.

* D: Settlement date agreements with the issuer are irrelevant for DVP.

FINRA Guidelines on DVP/RVP Transactions: FINRA DVP Info.

NEW QUESTION # 36

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