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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q18-Q23):

NEW QUESTION # 18

SEC Regulation S-P (Consumer Privacy) requires certain information to be included in privacy notices delivered to customers of broker-dealers (BDs). Which of the following information is required to be included in the privacy notice?

- A. The BD's policies and practices for protecting the customer's nonpublic personal information
- B. The name and telephone number of the BD's chief compliance officer
- C. The website and telephone number of SIPC
- D. The website and telephone number of the Consumer Financial Protection Bureau (CFPB)

Answer: A

Explanation:

Regulation S-P mandates that broker-dealers disclose how they collect, protect, and share customers' nonpublic personal information. The privacy notice must include:

- * The categories of information collected.
- * The firm's policies for safeguarding data.
- * Opt-out rights for sharing information with unaffiliated third parties.

* D is correct because privacy notices must describe policies for protecting customer information.
* A, B, and C are incorrect because they do not relate to the required elements of Regulation S-P privacy notices.
Reference: SEC Regulation S-P (Privacy of Consumer Financial Information)

NEW QUESTION # 19

What is the sales load of an open-end investment company with a net asset value (NAV) of \$14.35 and a public offering price (POP) of \$15.50?

- A. 7.40%
- B. 9.25%
- C. 8.00%
- D. 8.50%

Answer: D

Explanation:

The sales load is calculated as a percentage of the POP, using the formula: $\text{Sales load} = (\text{POP} - \text{NAV}) \div \text{POP} \times 100$

* POP = \$15.50, NAV = \$14.35.

* Sales load = $(\$15.50 - \$14.35) \div \$15.50 \times 100 = 8.50\%$.

* C is correct because the calculation results in an 8.50% load.

* A, B, and D are incorrect due to incorrect calculations.

NEW QUESTION # 20

A customer buys 100 ABC at \$50 and at the same time sells an ABC April 50 call at \$8. At expiration, ABC must be at what market price for the customer to break even?

- A. \$50
- B. \$44
- C. \$58
- D. \$42

Answer: D

Explanation:

Step by Step Explanation:

* Breakeven Calculation: For covered call writing, breakeven is the stock purchase price minus the premium received.

* Purchase Price = \$50

* Premium Received = \$8

* Breakeven = $\$50 - \$8 = \$42$.

* Other Options:

* B, C, and D: Incorrect because they do not reflect the proper calculation of stock price minus the premium.

Options Clearing Corporation (OCC) Education: OCC Options Guidance.

NEW QUESTION # 21

Which of the following must a registered representative disclose as an outside business activity (OBA) on his Form U4?

- A. Board member for a publicly traded company
- B. Trustee on a grandparent's estate account
- C. Board member serving without compensation for a not-for-profit entity
- D. Volunteer work for a local charity

Answer: A

Explanation:

FINRA Rule 3270 requires registered representatives to disclose all outside business activities that involve compensation or could reasonably be perceived as a conflict of interest.

* C is correct because serving as a board member for a publicly traded company is a business activity requiring disclosure, even if

compensation is indirect.

* A is incorrect because volunteer work for charities does not require disclosure.

* B is incorrect because acting as a trustee for a personal or family estate is generally not considered an OBA.

* D is incorrect because unpaid board membership for a not-for-profit entity does not typically require disclosure.

Reference: FINRA Rule 3270 (Outside Business Activities)

NEW QUESTION # 22

In a rising interest rate environment, which of the following statements is true regarding the price of fixed-rate corporate bonds?

- A. Their price will appreciate in value.
- **B. Their price will depreciate in value.**
- C. Their price will remain constant.
- D. Their price will revert to par value.

Answer: B

Explanation:

When interest rates rise, the price of fixed-rate corporate bonds falls because the bond's coupon payments become less attractive compared to new bonds issued at higher rates.

* D is incorrect as bond prices move inversely to interest rates.

* A is incorrect because bond prices fluctuate with interest rate changes.

* B is incorrect because bond prices revert to par only at maturity.

* C is incorrect because prices do not appreciate when rates rise.

NEW QUESTION # 23

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