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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q346-Q351):

NEW QUESTION # 346

An introducing broker-dealer generally performs which of the following activities?

- A. Maintains custody of customer funds
- **B. Accepts orders to purchase securities**
- C. Clears transactions with the DTCC
- D. Prepares customer account statements

Answer: B

Explanation:

An introducing broker-dealer generally accepts customer orders and introduces those transactions to a clearing firm for processing, custody, clearance, settlement, and recordkeeping functions. Choice C is correct.

Introducing firms commonly maintain the customer relationship, solicit and accept orders, make recommendations, and provide front-office brokerage services. They typically do not carry customer accounts, custody customer funds or securities, or directly clear trades with clearing agencies. Choice A describes a clearing function, not the usual role of an introducing firm. Choice B is generally performed by the carrying or clearing broker-dealer that holds customer assets. Choice D is also generally associated with the carrying broker-dealer, which prepares and sends official account statements and confirmations, although introducing firms may provide supplemental communications. The SIE outline identifies broker-dealers, including introducing, clearing, and prime brokers, under market participants and their roles. The exam distinction is operational: introducing broker-dealers interact with customers and accept orders, while clearing broker-dealers handle custody, clearance, settlement, statements, and back-office processing.

Reference:

Section 1.1.4 Market Participants and Their Roles; introducing and clearing broker-dealers.

NEW QUESTION # 347

Which of the following securities receives the highest priority in case of a bankruptcy?

- A. Rights
- B. Common stock
- C. American Depositary Receipts (ADRs)
- **D. Preferred stock**

Answer: D

NEW QUESTION # 348

A registered representative (RR) reads an article online about a thinly traded security that the RR believes has a high likelihood of rapid growth and price appreciation. The RR purchases shares of the security in their own account and recommends to a number of high net worth customers that they purchase shares as well. After the RR's customers make several purchases of the security, the price appreciates, as the RR expected. The RR liquidates their position for a profit and subsequently recommends to customers that they do the same thing.

Which of the following statements is true regarding this scenario?

- A. The RR violated FINRA rules that state RRs are only permitted to accept unsolicited orders for thinly traded securities.
- **B. This is a deceptive practice that violates FINRA conduct rules.**
- C. The RR's recommendations are appropriate as the customers are all high net worth individuals.
- D. This is an acceptable practice if the customers' profits were equal to or greater than the RR's.

Answer: B

Explanation:

This fact pattern describes a classic conflict-and-manipulation style scenario: the RR buys first, promotes purchases to customers in a thinly traded security, benefits from the price increase that customer buying helps create, then sells for a profit and tells customers to sell afterward. In FINRA terms, this is consistent with a deceptive practice that violates standards of commercial honor and fair dealing (e.g., conduct rules requiring ethical behavior and prohibiting manipulative or deceptive devices). Thinly traded securities are especially vulnerable because relatively small buying pressure can move the price materially; when an RR uses their position and influence over customers to create demand that benefits the RR's own account, regulators view that as improper and potentially manipulative.

Choice B is wrong because "customers also made money" does not cure a deceptive or manipulative practice.

The issue is the RR's conduct, conflicts, and potential misuse of customer recommendations to profit personally. Choice C is wrong because suitability and ethical standards apply regardless of a customer's wealth level; high net worth does not make conflicted or deceptive conduct permissible. Choice D is wrong because there is no rule that representatives may only accept unsolicited orders for thinly traded securities.

Firms may accept solicited orders if recommendations are suitable and communications are fair and balanced, but the scenario here is about deceptive/conflicted trading behavior.

On the SIE, this falls under prohibited practices and market manipulation concepts, including ethics, conflicts of interest, and improper trading ahead of customers.

NEW QUESTION # 349

A municipal securities dealer makes a political contribution of \$990 to a local mayoral candidate. At the end of the quarter, to whom, if anyone, must the dealer report the contribution?

- **A. MSRB**
- B. FINRA
- C. SEC
- D. No disclosure required as the amount is below the reporting threshold

Answer: A

Explanation:

Step by Step Explanation:

* MSRB Rule G-37: Requires municipal securities dealers to report contributions to the MSRB, even if the amount is below the

\$1,000 threshold that would trigger a two-year prohibition on municipal business.

* Incorrect Options:

* SEC and FINRA: Not involved in reporting political contributions for municipal securities.

References:

* MSRB Rule G-37 (Political Contributions): MSRB Rule G-37.

NEW QUESTION # 350

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.

SEC Guidance on Bond Ratings: SEC Bond Ratings.

NEW QUESTION # 351

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