

Valid Lab SIE Questions & Free Download Valid Exam SIE Braindumps: Securities Industry Essentials Exam (SIE)

SIE EXAM/Questions & Answers/A+Rated

What type of risk is unique to a specific industry, business enterprise, or investment type?

(ANS- **Nonsystematic risk**)

Under which of the following circumstances is an investor in a position to acquire stock?

(ANS- **Buy a call, sell a call (The holder of a call has the right to buy stock at the strike price if exercised. The seller of a put is obligated to buy stock at the strike price if exercised)**)

Options- a premium

(ANS- **the cost of an option contract, expressed in dollars per share of the underlying stock**)

Options- strike price

(ANS- **The price at which the stock will be bought or sold if the contract is exercised, expressed in dollars per share**)

A customer believes that ABC's price will go up but does not have the money to buy 100 shares right now. How could the customer use options to profit from an increase in the stock's price?

(ANS- **buy calls, write puts (both are bullish)**)

A corporation's offer to current stockholders of the ability to purchase a proportionate number of new shares at a specific price for a limited time is called a

(ANS- **right (they usually expire in 30-45 days)**)

American depository receipts (ADRs)

(ANS- **issued by banks, represent a specific number of shares of a foreign company, and trade and pay dividends in dollars**)

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The FINRA SIE desktop practice exam software is customizable and suits the learning needs of candidates. A free demo of the Securities Industry Essentials Exam (SIE) (SIE) desktop software is available for sampling purposes. You can change SIE Practice Exam's conditions such as duration and the number of questions. This simulator creates a FINRA SIE real exam environment that helps you to get familiar with the original test.

FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<ul style="list-style-type: none"> • Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including registration and continuing education for associated persons. Candidates must understand the distinction between registered and non-registered individuals and the requirements for maintaining industry qualifications.
Topic 3	<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 4	<ul style="list-style-type: none"> • Regulatory Entities, Agencies, and Market Participants: This section of the exam measures the skills of Financial Regulatory Analysts and covers the structure, authority, and jurisdiction of key regulatory bodies overseeing financial markets. The SEC's role in enforcing securities regulations is assessed, along with the authority of self-regulatory organizations such as FINRA and MSRB. Candidates must also understand the functions of other financial regulators, including the Department of the Treasury and state regulatory agencies. One key skill evaluated is identifying the jurisdictional scope of different financial regulators.

>> Lab SIE Questions <<

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q178-Q183):

NEW QUESTION # 178

An investor owns \$10,000 par value of a municipal bond with the following rates:

- * 4.0% coupon rate
- * 5.0% current yield
- * 4.5% yield to maturity (YTM)
- * 6.5% tax-equivalent yield

What amount of interest should the investor expect to receive each year?

- A. \$400
- B. \$500
- C. \$650
- D. \$450

Answer: A

Explanation:

The annual interest on a bond is calculated based on the coupon rate and the bond's par value.

* Coupon rate = 4.0%.

* Annual interest = \$10,000 (par value) × 4.0% = \$400.

* A is correct because the coupon rate determines the annual interest.

* B, C, and D are incorrect because they reflect incorrect calculations. The current yield, YTM, and tax-equivalent yield do not affect the bond's fixed coupon payments.

NEW QUESTION # 179

Which of the following statements best describes a characteristic of 529 savings plan accounts?

- A. There are no contribution limits to the account.

- B. Using funds for undergraduate or graduate studies is permissible.
- C. Earnings are taxed to the donor at the time of a qualified withdrawal.
- D. The number of contributors to the account is limited.

Answer: B

Explanation:

Step by Step Explanation:

* 529 Savings Plans: These plans allow tax-advantaged savings for education expenses. They can be used for both undergraduate and graduate studies, as well as certain K-12 expenses.

* Contribution Limits: Contributions are subject to gift tax limits but have no specific statutory maximum under federal law.

* Tax Treatment: Earnings grow tax-deferred and are tax-free if used for qualified education expenses.

IRS Section 529 Guidance: IRS 529 Plans.

NEW QUESTION # 180

At a prospecting event, a registered representative (RR) provides cards for attendees to write down their contact information if they want to have a follow-up meeting with her. Which of the following actions should the RR take in this situation to comply with telemarketing rules?

- A. Contact the prospects at will since they provided express written consent
- B. Prior to contacting the prospects, check all of the names on the cards to make sure they are not on the National Do Not Call Registry
- C. Obtain the broker-dealer's approval before making a call
- D. Limit contact with prospects to between 9 a.m. and 9 p.m.

Answer: B

Explanation:

Step by Step Explanation:

* Telemarketing Rules (FINRA Rule 3230): Require firms to check the National Do Not Call Registry before contacting individuals, even if those individuals provide their contact information voluntarily.

* Incorrect Options:

* A: Approval isn't required for individual follow-ups; compliance with the registry is.

* B: While calls must be limited to appropriate hours, the registry check is still mandatory.

* C: Written consent does not override the registry requirement.

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FINRA Rule 3230 (Telemarketing): FINRA Rule 3230.

NEW QUESTION # 181

Which of the following is not a pass-through entity for tax purposes?

- A. A C corporation
- B. A limited liability company (LLC)
- C. A real estate investment trust (REIT)
- D. An S corporation

Answer: A

Explanation:

A pass-through entity does not pay corporate income taxes; instead, income is passed to owners, who report it on their individual tax returns.

* A is correct because C corporations are not pass-through entities; they pay corporate taxes.

* B, C, and D are all pass-through entities for tax purposes.

NEW QUESTION # 182

Accrued bond interest at the time of sale is paid to the:

- A. buyer, as it is deducted from the net proceeds.

- B. buyer on the trade date.
- C. seller, as it is added to the net proceeds.
- D. seller on the next payment date.

Answer: C

Explanation:

Bonds pay interest periodically (commonly semiannually). Between interest payment dates, interest accrues daily. When a bond is sold in the secondary market, the buyer will receive the full next interest payment from the issuer on the scheduled coupon date—even though the buyer did not hold the bond for the entire coupon period. To make this fair, the buyer compensates the seller for the portion of interest that accrued while the seller owned the bond. This compensation is called accrued interest, and it is paid by the buyer to the seller as part of the transaction's total cost.

Operationally, in most bond trades the quoted price is "clean" (excluding accrued interest). The settlement amount is the "dirty" price: clean price + accrued interest. From the seller's perspective, accrued interest is added to the net proceeds of the sale, which is exactly what choice D states. Therefore, the correct answer is D.

Choice A is incorrect because the buyer is not receiving accrued interest; the buyer is paying it. Choice B is incorrect because accrued interest is not deducted from the seller's proceeds; it is added. Choice C is incorrect because the seller does not wait until the next coupon date to receive their earned interest—accrued interest is settled in the trade. The bond issuer pays the coupon to the holder of record as of the relevant record date, which will be the buyer after settlement; the seller is compensated at settlement via accrued interest.

This is a core SIE bond settlement concept: buyer pays seller accrued interest, and the seller's proceeds include it.

NEW QUESTION # 183

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