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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q218-Q223):

NEW QUESTION # 218

A registered representative wants to open an account for himself at a different financial institution. Under FINRA rules, which of the following accounts requires prior written consent from his employing broker- dealer?

- A. A 529 savings plan account established for his grandchild
- B. An investment advisory account in which securities transactions are effected
- C. Variable contracts registered under the Investment Company Act
- D. Mutual fund accounts held directly with the fund company

Answer: B

Explanation:

Step by Step Explanation:

* FINRA Rule 3210: Requires registered representatives to obtain written consent from their employing broker-dealer before opening accounts at other financial institutions if securities transactions will occur.

* Incorrect Options:

* A, B, and C: These accounts are exempt because they do not involve direct securities transactions requiring monitoring.

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FINRA Rule 3210 (Accounts at Other Institutions): FINRA Rule 3210.

NEW QUESTION # 219

Which of the following strategies is an investor most likely to employ using options contracts?

- A. Buying put options to set a definitive floor for potential losses
- B. Selling call options to set a definitive ceiling for potential losses
- C. Buying put options when the market shows upward momentum
- D. Buying call options when the market shows downward momentum

Answer: A

Explanation:

Buying a put option gives the investor the right to sell a stock at a specific strike price, effectively setting a floor for potential losses if the stock price declines. This is a common risk-management strategy.

* A is correct because buying puts limits downside risk while retaining the potential for upside gains.

* B is incorrect as buying puts is a bearish strategy, not one used during upward momentum.

* C is incorrect because selling call options does not hedge losses; it is a speculative or income- generating strategy.

* D is incorrect because buying calls is a bullish strategy, used during upward momentum, not downward.

Reference: SIE Study Guide, Chapter 8: Options Strategies

NEW QUESTION # 220

According to FINRA rules, under which of the following circumstances, if any, is a member firm permitted to send gifts to a registered representative of another member firm?

- A. Under no circumstances
- B. When the value of all gifts during a period of one year does not exceed \$100
- C. When no single gift exceeds \$100 and there is no limit on the number of gifts
- D. When no single gift exceeds \$100 in value and the maximum value of all gifts per year equals \$250

Answer: B

Explanation:

Step by Step Explanation:

* FINRA Rule 3220: This rule limits gifts to \$100 per person annually to prevent conflicts of interest.

* Aggregate Limit: There is no provision for exceeding the \$100 annual limit, regardless of the number of gifts.

* Purpose: The rule ensures that gifts do not influence decisions or create unethical relationships.

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

NEW QUESTION # 221

The primary market is regulated by the SEC under which of the following acts?

- A. The Securities Exchange Act of 1934
- B. The Investment Advisers Act of 1940
- C. The Investment Company Act of 1940
- D. The Securities Act of 1933

Answer: D

Explanation:

The primary market deals with the issuance of new securities, which is regulated under the Securities Act of 1933. This act requires issuers to provide full disclosure of material information to investors to ensure transparency and fairness in new offerings.

- * A is correct because the Securities Act of 1933 governs initial offerings.
- * B is incorrect because the Securities Exchange Act of 1934 regulates secondary market trading.
- * C is incorrect because the Investment Advisers Act of 1940 pertains to investment advisers.
- * D is incorrect because the Investment Company Act of 1940 governs mutual funds and other investment companies.

Reference: Securities Act of 1933

NEW QUESTION # 222

An investor wants to purchase additional mutual fund shares with income distributed by the fund. Which of the following fund options permits this?

- A. Dollar cost averaging
- B. Capital gains reinvestment
- **C. Dividend reinvestment**
- D. Asset reallocation

Answer: C

Explanation:

Step by Step Explanation:

- * Dividend Reinvestment Plans (DRIPs): These allow investors to automatically reinvest income distributed by the mutual fund to purchase additional shares.
- * Dollar Cost Averaging: Refers to systematic investments over time, not directly tied to income distributions.
- * Capital Gains Reinvestment: Involves reinvesting profits from the sale of fund holdings, which is distinct from dividend reinvestment.

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FINRA Mutual Fund Features: FINRA Mutual Funds.

NEW QUESTION # 223

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