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Financial Industry Regulatory Authority
Securities Industry Essentials (SIE) Exam

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TEST RESULT	
Result:	Pass

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q50-Q55):

NEW QUESTION # 50

Which of the following characteristics is true of open-end mutual fund shares?

- A. They are purchased by investors directly from the fund or through a broker-dealer offering the fund.**
- B. They terminate and dissolve on an established date.
- C. Their price is calculated intra-day based on the changing market value of the fund.
- D. They are purchased by investors in the secondary market.

Answer: A

Explanation:

Open-end mutual funds do not trade on secondary markets. Instead, shares are continuously issued or redeemed by the fund at the net asset value (NAV), calculated at the market close.

* D is correct because investors purchase and redeem shares directly through the fund or authorized brokers.

* A is incorrect because mutual funds do not have a predetermined dissolution date.

* B is incorrect because mutual fund shares are priced at the NAV calculated once daily after the market closes.

* C is incorrect because secondary market trading applies to closed-end funds and ETFs, not open-end mutual funds.

NEW QUESTION # 51

In performing fundamental analysis of an equity, which of the following elements should an investor consider?

- A. Resistance and support levels
- B. Chart patterns
- C. Moving average
- **D. Financial statements**

Answer: D

Explanation:

Fundamental analysis focuses on evaluating a company's financial health and potential for growth by analyzing its financial statements, such as the income statement, balance sheet, and cash flow statement.

* C is correct because financial statements provide the data necessary for fundamental analysis.

* A and B are incorrect because chart patterns and moving averages are tools of technical analysis, not fundamental analysis.

* D is incorrect because resistance and support levels are also part of technical analysis.

NEW QUESTION # 52

Assuming yields are held constant, which of the following statements describes what will occur as a discount bond reaches maturity?

- A. Its price decreases.
- **B. Its price increases.**
- C. Its par value decreases.
- D. Its par value increases.

Answer: B

Explanation:

Step by Step Explanation:

* Discount Bonds: These are issued or traded below par value. Over time, their price moves closer to par as they approach maturity, assuming yields remain constant.

* Other Options:

* Par Value Changes: The par value of a bond does not change over time; only its price fluctuates.

References:

* SEC and FINRA Bond Basics: SEC Discount Bonds.

NEW QUESTION # 53

Which of the following types of accounts permits an investor to borrow money from a broker-dealer to help pay for a trade?

- A. Cash
- **B. Margin**
- C. Delivery versus payment (DVP) / receive versus payment (RVP)
- D. An individual retirement account (IRA)

Answer: B

Explanation:

Step by Step Explanation:

* Margin Accounts: Allow investors to borrow funds to purchase securities, with the securities serving as collateral for the loan.

* Cash Accounts: Require full payment for securities purchased.

* IRAs: Do not permit borrowing due to their tax-advantaged status.

* DVP/RVP: Settlement mechanisms, not account types for borrowing.

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FINRA Rule 4210 (Margin Requirements): FINRA Rule 4210.

NEW QUESTION # 54

Which of the following responses describes treasury stock?

- A. Restricted stock owned by officers
- B. U.S. government securities held by a corporation
- C. Authorized but unissued stock
- **D. Stock subsequently reacquired by the issuer**

Answer: D

Explanation:

Treasury stock refers to shares that were issued by a company and subsequently repurchased by the company.

These shares are held in the company's treasury and are not considered outstanding.

* C is correct because treasury stock is stock reacquired by the issuer.

* A is incorrect because authorized but unissued stock has never been issued.

* B is incorrect because restricted stock refers to shares issued with restrictions on transferability, not reacquired stock.

* D is incorrect because it incorrectly refers to government securities, not corporate stock.

NEW QUESTION # 55

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