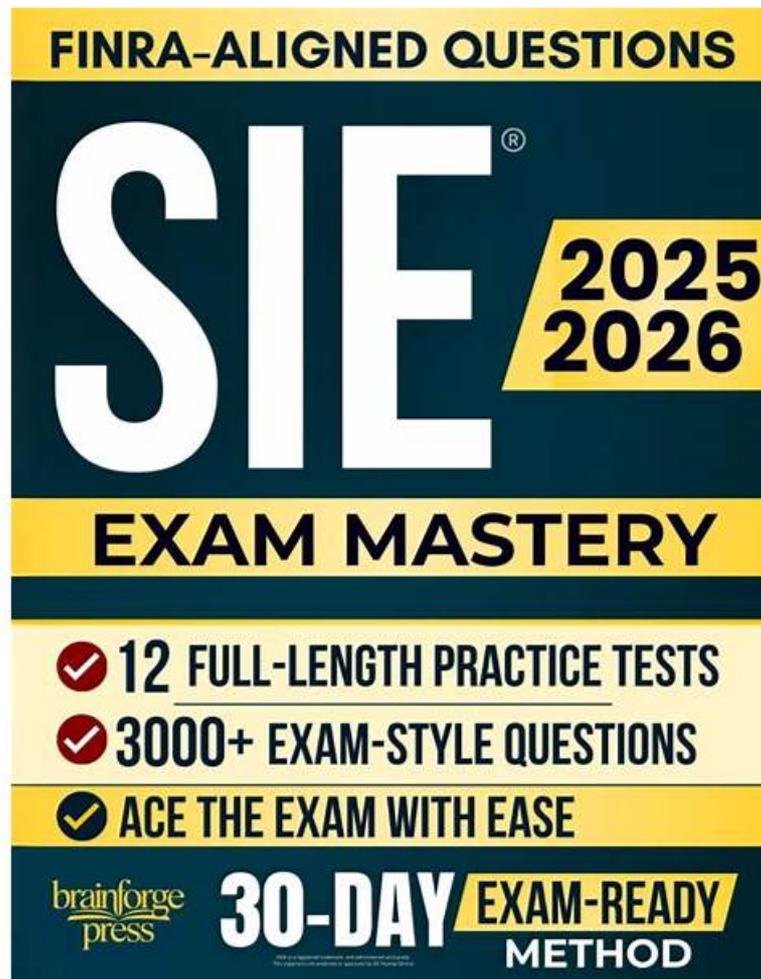


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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q17-Q22):

NEW QUESTION # 17

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. Limit contact with prospects to between 9 a.m. and 9 p.m.
- C. 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
- D. Obtain the broker-dealer's approval before making a call

Answer: C

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.

FINRA Rule 3230 (Telemarketing): FINRA Rule 3230.

NEW QUESTION # 18

Under FINRA rules, which of the following activities is not considered an outside business activity (OBA)?

- A. Passively investing in a multifamily house for rental purposes
- B. Professionally refereeing athletic events
- C. Selling health insurance
- D. Selling real estate

Answer: A

Explanation:

Step by Step Explanation:

* Outside Business Activity Definition: Per FINRA Rule 3270, an OBA involves compensated business activities outside the scope of the RR's role at their firm. Passive investments are excluded because they do not require active involvement.

* Incorrect Options:

* A, B, and C: Selling real estate, selling insurance, and refereeing are considered OBAs as they involve active participation and compensation.

FINRA Rule 3270 (Outside Business Activities): FINRA Rule 3270.

NEW QUESTION # 19

A bond with a par value of \$1,000 that is backed by the taxing power of a local government is known as:

- A. A corporate bond
- B. A Treasury bond
- C. A revenue bond
- D. A general obligation (GO) bond

Answer: D

Explanation:

Step by Step Explanation:

* General Obligation (GO) Bonds: Backed by the full faith and credit of the issuing municipality, relying on its taxing power for repayment.

* Revenue Bonds: Supported by revenues from a specific project or source.

* Treasury Bonds: Issued by the federal government.

* Corporate Bonds: Issued by corporations, not municipalities.

SEC Municipal Bond Guide: SEC GO Bonds.

NEW QUESTION # 20

A registered representative (RR) at a member firm is the subject of a statutory disqualification. Which of the following statements is true?

- A. The RR is prohibited from any association or employment with a member firm unless he obtains a waiver.
- B. A statutory disqualification, although reportable to CRD, does not affect employment in the securities industry.
- C. The RR is prohibited from employment by a member firm in any registered capacity but is permitted to be employed in an unregistered capacity.
- D. The RR is prohibited from soliciting business but is permitted to accept unsolicited orders.

Answer: A

Explanation:

A statutory disqualification occurs if an RR has been convicted of certain crimes, violated securities laws, or been barred by a regulatory authority. Under FINRA rules, the RR cannot associate with a member firm in any capacity unless they obtain a waiver from FINRA.

* B is correct because the disqualified person must obtain a waiver to continue employment.

* A and C are incorrect because the RR is not allowed to associate with the firm in any capacity without a waiver.

* D is incorrect because statutory disqualification directly affects the RR's employment status.

Reference: FINRA By-Laws, Article III, Section 4; FINRA Rule 9520 (Eligibility Proceedings)

NEW QUESTION # 21

How does an individual acquire restricted stock?

- A. By exercising an option for exchange-traded calls
- B. By participating in an SEC Regulation D offering
- C. By participating in an initial public offering (IPO)
- D. By exercising publicly traded warrants

Answer: B

Explanation:

Restricted stock refers to securities acquired through private placements, such as those offered under Regulation D. These securities are not registered with the SEC and are subject to holding period restrictions before resale.

* A is correct because Regulation D offerings involve private placements, resulting in restricted stock.

* B is incorrect because IPOs involve publicly traded shares, not restricted stock.

* C and D are incorrect because restricted stock is not obtained through warrants or exchange-traded options.

Reference: SEC Regulation D, Rule 144 (Restricted and Control Securities)

NEW QUESTION # 22

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