

FINRA SIE練習問題集 & SIEコンポーネント

FINRA SIE Practice Test| 75 Questions| With Complete Solutions

Upon Expiration, all in-the-money S&P 100 Index call options are settled by the delivery of which of the following? correct answer: Cash

Which of the following statements is true about treasury stock? correct answer: It is issued stock that has been subsequently reacquired by the corporation

In the event of a stock split, which of the following parties is required to maintain a record of the shareholders eligible to receive the additional shares? correct answer: Transfer Agent

Which of the following actions is required of a broker-dealer's anti-money laundering (AML) program? correct answer: Designating an AML compliance officer

A registered representative (RR) wants to participate in a private securities transaction. Which of the following actions must the RR take? correct answer: Send written notice to his supervisor outlining the activity and compensation structure

A customer BUYS a 1 ABC Jan 35 PUT for a premium of \$3 and simultaneously buys 100 shares of ABC stock for \$35 per share. The customer will break even when the stock is selling at what price per share at expiration? correct answer: \$38

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>> FINRA SIE練習問題集 <<

真実的なSIE練習問題集一回合格-信頼的なSIEコンポーネント

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FINRA SIE 認定試験の出題範囲:

トピック	出題範囲
トピック 1	<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.
トピック 2	<ul style="list-style-type: none"> Market Structure: This section of the exam measures the skills of Equity Market Specialists and covers the classification of financial markets, including the primary, secondary, third, and fourth markets. Candidates must demonstrate knowledge of electronic trading, over-the-counter (OTC) markets, and physical exchanges. One specific skill tested is differentiating between various market types and their operational mechanisms.
トピック 3	<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.

FINRA Securities Industry Essentials Exam (SIE) 認定 SIE 試験問題 (Q27-Q32):

質問 # 27

An associated person at a member firm receives a complaint from a customer involving allegations of forgery. Once the complaint is received, which of the following actions is required?

- **A. The member firm must report the event promptly to FINRA.**
- B. The member firm is not required to report the event to FINRA but must maintain a file of the complaint for four years.
- C. The member firm must have a principal review the complaint and determine if the forgery occurred before filing a report with FINRA.
- D. The member firm must complete arbitration to resolve the complaint with the customer before filing a report with FINRA.

正解: A

解説:

Step by Step Explanation:

* FINRA Rule 4530: Requires member firms to report certain events, including allegations of forgery, to FINRA promptly.

* Incorrect Options:

* Option B: Maintaining a record does not substitute for required reporting.

* Option C: Arbitration isn't required before reporting.

* Option D: Reporting is mandatory irrespective of internal investigations.

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FINRA Rule 4530 (Reporting Requirements): FINRA Rule 4530.

質問 # 28

An investor wants to purchase mutual fund shares, but she is concerned about the tax efficiency of the fund.

Which of the following disclosures required under industry regulations will help the investor make an informed decision?

- **A. The fund's turnover ratio**
- B. Sales charges and breakpoint discount opportunities
- C. The commissions that the fund pays on each transaction
- D. Projections of future dividend and capital gains distributions

正解: A

解説:

Step by Step Explanation:

* Turnover Ratio: Indicates how frequently the fund manager buys and sells securities. A high turnover ratio may result in higher capital gains distributions, impacting tax efficiency.

* Incorrect Options:

* B: Sales charges affect cost but not tax efficiency.

* C: Commission details are unrelated to the fund's tax efficiency.

* D: Projections of distributions are speculative and not disclosed under regulations.

References:

* SEC Mutual Fund Guide: SEC Mutual Funds.

質問 # 29

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

- A. Using funds for undergraduate or graduate studies is permissible.
- B. Earnings are taxed to the donor at the time of a qualified withdrawal.
- C. The number of contributors to the account is limited.
- D. There are no contribution limits to the account.

正解: A

解説:

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.

References:

* IRS Section 529 Guidance: IRS 529 Plans.

質問 # 30

Pursuant to the Securities Act of 1933, registration is required for which of the following securities?

- A. Open-end investment companies
- B. U.S. government issues
- C. Municipal securities
- D. Private placements

正解: A

解説:

The Securities Act of 1933 requires securities offered to the public to be registered with the SEC unless they qualify for an exemption. Open-end investment companies (mutual funds) are not exempt and must register.

* D is correct because mutual funds are publicly offered and require registration.

* A is incorrect because private placements are exempt under Regulation D.

* B is incorrect because municipal securities are exempt under Section 3(a)(2).

* C is incorrect because U.S. government securities are also exempt under Section 3(a)(2).

Reference: Securities Act of 1933, Section 5; SIE Study Guide, Chapter 4

質問 # 31

Corporate bonds unsecured by any pledge of property are called:

- A. Debentures
- B. Trust certificates
- C. Collateral trust bonds

- D. General obligation (GO) bonds

正解: A

解説:

Step by Step Explanation:

* Debentures: Corporate bonds not backed by physical assets or collateral. They rely on the issuer's creditworthiness.

* Incorrect Options:

* B: Trust certificates are a legacy term for bonds backed by a trust.

* C: Collateral trust bonds are secured by financial assets.

* D: GO bonds are issued by municipalities, not corporations.

References:

* SEC Guide on Corporate Bonds: SEC Corporate Bonds.

質問 # 32

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