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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q21-Q26):

NEW QUESTION # 21

A market maker displays the following ABC stock quote: 25.05 - 25.15 (7x5J).

Based upon the quote displayed, the market maker sells all the available shares of a 1,200-share market order to buy ABC stock. How many shares must be sold at the price of \$25.15?

- A. 0
- **B. 1**
- C. 2
- D. 3

Answer: B

NEW QUESTION # 22

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

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

Answer: B

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 # 23

Which of the following statements describes a characteristic of Treasury securities?

- **A. They are liquid.**
- B. They are issued by the U.S. government with a high amount of default risk.
- C. They are callable.
- D. They are FDIC-insured.

Answer: A

Explanation:

Treasury securities are among the most liquid investments, as they are backed by the U.S. government and trade actively in large volumes.

* A is correct because Treasuries are highly liquid, making them easy to buy and sell.

* B is incorrect because most Treasury securities are not callable.

* C is incorrect because FDIC insurance applies to bank deposits, not Treasuries.

* D is incorrect because U.S. government securities have negligible default risk.

NEW QUESTION # 24

On settlement date, a customer is unable to pay for a purchase in his cash account. His position is liquidated.

Which of the following statements is true according to Federal Reserve Regulation T?

- A. All related accounts are frozen for 90 days.
- B. The customer is barred from trading for 30 days.
- **C. The customer's account is frozen for 90 days.**
- D. Only closing transactions are permitted.

Answer: C

Explanation:

Federal Reserve Regulation T mandates that customers must pay for purchases in a cash account within two business days of settlement (T+2). If payment is not made, the brokerage firm must liquidate the securities and place the account on a 90-day restriction.

- * C is correct because the customer's account is frozen for 90 days, during which all trades must be paid for in advance.
- * A is incorrect as closing transactions are still permitted but require prepayment.
- * B is incorrect because the restriction lasts for 90 days, not 30.
- * D is incorrect as only the delinquent account, not related accounts, is frozen.

NEW QUESTION # 25

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

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

Answer: A

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 # 26

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