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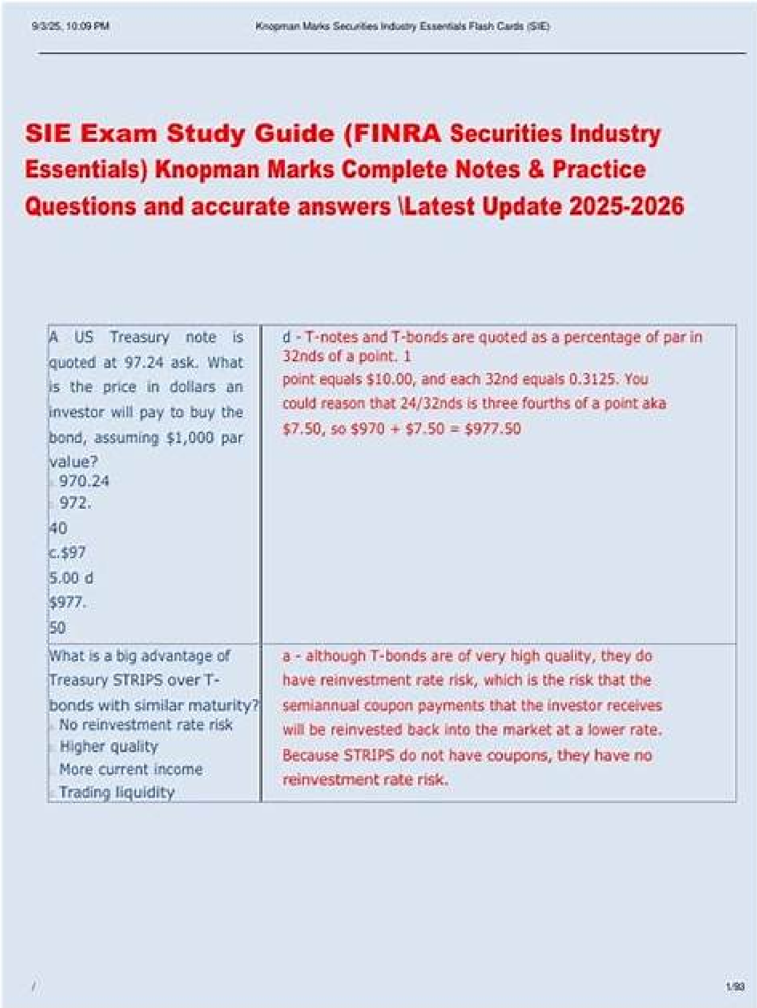

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SIE Exam Study Guide (FINRA Securities Industry Essentials) Knopman Marks Complete Notes & Practice Questions and accurate answers \Latest Update 2025-2026

A US Treasury note is quoted at 97.24 ask. What is the price in dollars an investor will pay to buy the bond, assuming $1,000 par value? 970.24 972. 40 c.$97 5.00 d $977. 50	d - T-notes and T-bonds are quoted as a percentage of par in 32nds of a point. 1 point equals $10.00, and each 32nd equals 0.3125. You could reason that 24/32nds is three fourths of a point aka $7.50, so $970 + $7.50 = $977.50
What is a big advantage of Treasury STRIPS over T-bonds with similar maturity? No reinvestment rate risk Higher quality More current income Trading liquidity	a - although T-bonds are of very high quality, they do have reinvestment rate risk, which is the risk that the semiannual coupon payments that the investor receives will be reinvested back into the market at a lower rate. Because STRIPS do not have coupons, they have no reinvestment rate risk.

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Pass Guaranteed 2026 FINRA Newest SIE Test Questions

Passing the Securities Industry Essentials Exam (SIE) exam at first attempt is a goal that many candidates strive for. However, some of them think that good FINRA SIE study material is not important, but this is not true. The right SIE preparation material is crucial for success in the exam. And applicants who don't find updated SIE prep material ultimately fail in the real examination and waste money. That's why DumpsMaterials offers actual SIE exam questions to help candidates pass the exam and save their resources.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q395-Q400):

NEW QUESTION # 395
Which of the following items is an advantage for an issuer of a shelf offering?

- A. Quarterly SEC disclosures are not required during the offering period.
- B. Investors are only permitted to sell shares back to the issuer during the offering period.
- C. It allows the issuance of securities for four years without re-registration.
- D. It provides quick access to the market when the market is favorable.

Answer: D

Explanation:
A shelf offering allows an issuer to register securities in advance and sell them later when market conditions are favorable. The major advantage is speed and flexibility. Once the shelf registration is effective, the issuer can access the market quickly without preparing a full new registration for each takedown. Choice A is correct. Choice B is incorrect because shelf registration does not eliminate ongoing public company disclosure obligations. Issuers subject to periodic reporting must continue required SEC filings. Choice C is incorrect because the standard shelf registration period is not four years for the general SIE concept tested here. Choice D is unrelated to shelf offerings; investors are not limited to selling shares back to the issuer merely because securities were issued under a shelf registration. The SIE outline specifically includes shelf registrations and distributions, including their definition and purpose, under offerings. The technical purpose is efficient capital raising: the issuer can register now, wait, and issue later when pricing, demand, or financing needs are favorable. Reference: Section 1.4 Offerings, shelf registrations and distributions.

NEW QUESTION # 396
Which of the following groups are members of NASAA?

- A. Self-regulatory organizations (SROs)
- B. Major stock exchanges
- C. Broker-dealers
- D. State securities regulators

Answer: D

Explanation:
NASAA is the North American Securities Administrators Association, and its membership is made up of state, provincial, and territorial securities regulators (in the U.S., primarily the state securities administrators).
That makes C correct. On the SIE, NASAA is tested as the umbrella organization representing state-level regulators, which are responsible for enforcing state securities laws ("blue sky" laws), registering certain securities offerings when applicable, and registering/licensing investment adviser representatives and other participants under state jurisdiction.
Choice A is incorrect because broker-dealers are regulated entities, not NASAA members. Broker-dealers register with the SEC and are members of self-regulatory organizations like FINRA, but they are not
"members of NASAA." Choice B is incorrect because stock exchanges are marketplaces and are often SROs themselves, but they are not NASAA members. Choice D is incorrect because SROs (such as FINRA or MSRB) are not NASAA members; NASAA represents state-level governmental regulators, not self- regulatory organizations.
This question reinforces an important SIE framework: U.S. securities regulation is shared among federal regulators (SEC), self-regulatory organizations (FINRA, MSRB, exchanges), and state regulators. NASAA serves as a coordinating body for state regulators, promoting uniformity through model rules, policy coordination, investor education, and cooperation among jurisdictions.
Understanding NASAA's membership helps you correctly assign regulatory roles-especially when questions involve blue sky laws, state registration requirements, and state-level enforcement.

NEW QUESTION # 397
Which of the following responses best describes the primary strategy that an investor uses when selling a covered call?

- A. Income generation
- B. Speculation

- C. Profit guarantee
- D. Hedging

Answer: A

Explanation:
A covered call involves selling a call option on a stock the investor already owns. The strategy generates income in the form of the premium collected for selling the call, providing additional returns on the stock position.
* D is correct because the primary goal of a covered call is to generate income.
* A is incorrect because covered calls do not hedge against large declines in the stock price.
* B is incorrect because speculation involves taking higher risks, not a covered call's conservative strategy.
* C is incorrect because no strategy guarantees a profit.
Reference: SIE Study Guide, Chapter 8: Options Strategies

NEW QUESTION # 398
A selling group member in an initial public offering (IPO) has the primary responsibility for which of the following obligations related to the IPO ' s prospectus?

- A. Preparing the prospectus
- B. Ensuring that the information in the prospectus is accurate and complete
- C. Ensuring that the prospectus is filed with the SEC
- D. Distributing the prospectus to prospective investors

Answer: D

Explanation:
The correct answer is B, Distributing the prospectus to prospective investors. In an IPO, responsibilities are divided among various participants, including the issuer, underwriters, and selling group members. A selling group member is part of the distribution network and is primarily responsible for selling the securities to the public and delivering the prospectus to potential investors.
The prospectus is a legal disclosure document that must be provided to investors before or at the time of sale.
Selling group members play a key role in ensuring that investors receive this document so they can make informed decisions.
Choice A, preparing the prospectus, is the responsibility of the issuer, along with assistance from the lead underwriter and legal counsel. Choice C, ensuring filing with the SEC, is also the issuer's responsibility.
Choice D, ensuring accuracy and completeness, falls on the issuer and underwriters, who are liable for disclosures under securities laws.
Thus, the selling group's primary role is distribution, not creation or verification of the prospectus. Therefore, choice B is correct.

NEW QUESTION # 399
Which of the following account registration types is subject to probate upon the death of the account owner?

- A. Transfer-on-death (TOD)
- B. Joint tenants with right of survivorship (JTWROS)
- C. Individual
- D. Irrevocable trust

Answer: C

Explanation:
Accounts held individually are subject to probate, which is the legal process of administering the decedent's estate. Probate determines the distribution of assets according to the deceased's will or state intestacy laws.
* A is correct because individual accounts require probate to transfer assets.
* B is incorrect because irrevocable trusts bypass probate.
* C is incorrect because TOD accounts allow direct transfer of assets to named beneficiaries without probate.
* D is incorrect because JTWROS accounts transfer ownership to the surviving account holder automatically.
Reference: SIE Study Guide, Chapter 9: Account Ownership and Beneficiary Designations

NEW QUESTION # 400
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