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FINRA Website SIE Practice Exam Questions with Answers 100% correct

Under the Securities act of 1933, registration is required for which of the following securities?

- A. Eurodollar bonds
- B. Municipal securities
- C. American Depositary Receipts (ADRs)
- D. Securities issued by the federal government - ANSWER C. American Depositary Receipts

Which of the following outcomes are possible for the writer of a covered call option?

- A. Profit limited and loss limited
- B. Profit limited and loss unlimited
- C. Profit unlimited and loss limited
- D. Profit unlimited and loss unlimited - ANSWER A. Profit limited and loss limited

A registered representative (RR) who wants to place a mutual fund advertisement must obtain written approval from which of the following parties?

- A. FINRA
- B. Each State's securities administrator
- C. A registered principal of the RR's firm
- D. The investment management division of the appropriate regional SEC office - ANSWER C. A registered principal of the RR's firm

An investor owns 100 shares of XYZ common stock at the current market price of \$50 per share. If XYZ conducts a 1-for-2 reverse stock split, the investor's post-split stock position will be:

- A. 50 shares at \$25 per share
- B. 50 shares at \$100 per share
- C. 200 shares at \$25 per share
- D. 200 shares at \$100 per share - ANSWER B. 50 shares at \$100 per share

A firm is a participant in a public offering. To sell a substantial amount of the securities to its customers, the firm agrees to repurchase the shares at no less than the original sales price. Such agreements are:

- A. Prohibited as fraudulent and manipulative
- B. Permissible if the securities are deposited into escrow
- C. Prohibited unless the firm immediately sets aside funds for the repurchase

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 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.

Topic 2	<ul style="list-style-type: none"> Understanding Trading, Customer Accounts, and Prohibited Activities: This section of the exam measures the skills of Securities Traders and focuses on different trading strategies, settlement processes, and corporate actions. Candidates must demonstrate knowledge of order types, including market, limit, stop, and good-till-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
Topic 3	<ul style="list-style-type: none"> Understanding Products and Their Risks: This section of the exam measures the skills of Investment Analysts and examines different financial products and associated risks. Candidates must understand equity securities, including common stock, as well as debt instruments such as Treasury securities and mortgage-backed securities.
Topic 4	<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.
Topic 5	<ul style="list-style-type: none"> Employee Conduct and Reportable Events: This section of the exam measures the skills of Financial Compliance Specialists and covers regulatory expectations regarding employee conduct and disclosure requirements. Candidates must be familiar with Form U4 and Form U5, as well as reporting obligations for outside business activities and political contributions.

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Quiz FINRA - High-quality SIE - New Securities Industry Essentials Exam (SIE) Test Vce Free

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q261-Q266):

NEW QUESTION # 261

A customer has agreed to purchase a risky investment. The registered representative's (RR's) firm requires the customer's signature on a risk disclosure form; however, the customer is unavailable to sign the form. The RR signs the form on behalf of the customer using a digital signature platform. Which of the following statements best describes the permissibility of the RR's actions?

- **A. The RR's actions are impermissible since the RR is prohibited from signing on the customer's behalf.**
- B. The RR's actions are permissible since the investment is suitable for the customer and the RR has received oral authorization to place the order.
- C. The RR's actions are permissible since the customer was unavailable.
- D. The RR's actions are impermissible since the RR is only permitted to sign on the customer's behalf if using a hard copy form.

Answer: A

Explanation:

The RR's actions are impermissible because an RR may not sign a document on behalf of a customer to satisfy documentation requirements, regardless of whether the signature is "digital" or on paper. Signing for a customer is essentially a falsification or "signature of convenience," which is a serious compliance violation.

Firms require customer signatures on certain disclosures to evidence that the customer received and acknowledged the risks and terms; if the customer is unavailable, the correct approach is to delay the transaction, obtain the proper signature, or follow firm-approved alternative procedures-not to sign for the customer. Therefore, C is correct.

Choice A is incorrect because the customer's unavailability does not justify falsifying documentation. Choice B is incorrect because

suitability and oral authorization do not permit the RR to execute a customer signature requirement; suitability does not waive documentation rules. Choice D is incorrect because the prohibition is not about the medium; signing on the customer's behalf is improper whether digital or hard copy.

On the SIE, this ties to books and records integrity and prohibited practices: firms and associated persons must maintain accurate records and cannot create misleading documentation. Regulators treat record falsification as a major violation because it undermines supervision, customer protection, and regulatory examinations.

NEW QUESTION # 262

An investor wants to purchase additional mutual fund shares with income distributed by the fund. Which of the following fund options permits this?

- A. Capital gains reinvestment
- B. Asset reallocation
- C. Dividend reinvestment
- D. Dollar cost averaging

Answer: C

Explanation:

Step by Step Explanation:

* Dividend Reinvestment Plans (DRIPs): These allow investors to automatically reinvest income distributed by the mutual fund to purchase additional shares.

* Dollar Cost Averaging: Refers to systematic investments over time, not directly tied to income distributions.

* Capital Gains Reinvestment: Involves reinvesting profits from the sale of fund holdings, which is distinct from dividend reinvestment.

FINRA Mutual Fund Features: FINRA Mutual Funds.

NEW QUESTION # 263

SIPC provides investor protection for its members' customers in which of the following situations?

- A. Failure of a brokerage firm to meet customers' investment expectations
- B. Losses greater than 10% due to systemic market decline
- C. Losses incurred on futures contracts due to fraud or negligence
- D. Failure of a brokerage firm in the event of insolvency

Answer: D

Explanation:

The Securities Investor Protection Corporation (SIPC) protects customers if a broker-dealer fails due to insolvency. Coverage applies to cash and securities in customer accounts, up to \$500,000 total, including \$250,000 for cash.

* A is correct because SIPC's purpose is to protect against losses arising from a broker-dealer's insolvency.

* B is incorrect because SIPC does not guarantee investment performance.

* C is incorrect because SIPC does not cover market losses.

* D is incorrect because futures contracts are not covered under SIPC.

Reference: Securities Investor Protection Act of 1970; SIPC FAQs

NEW QUESTION # 264

Which of the following statements best describes the permissibility of a borrowing arrangement between a registered representative (RR) and a customer who is also the RR's grandfather?

- A. It is permissible provided that the loan was made in accordance with the firm's policies.
- B. It is permissible subject to FINRA approval.
- C. It is permissible if the grandfather agrees in writing.
- D. It is permissible if the loan was made on commercially reasonable terms.

Answer: A

Explanation:

Step by Step Explanation:

* FINRA Rule 3240: Permits borrowing or lending arrangements between RRs and customers under specific conditions, including familial relationships, provided the arrangement complies with the firm's policies.

* Incorrect Options:

* A: FINRA approval is not required; firm approval is.

* B: A written agreement alone is insufficient without firm approval.

* C: Commercially reasonable terms are not the sole criterion for permissibility.

FINRA Rule 3240 (Borrowing from or Lending to Customers): FINRA Rule 3240.

NEW QUESTION # 265

After a customer purchases bonds at a yield of 5.00%, the current yield at market price increases to 5.25%.

Which of the following statements is true regarding the value of the bonds?

- A. There is no change in the value of the bonds.
- **B. The value of the bonds has decreased.**
- C. The value of the bonds has increased.
- D. The face value of the bonds has decreased.

Answer: B

Explanation:

When bond yields rise, the price of existing bonds falls. This inverse relationship exists because the fixed coupon payments of the bonds become less attractive compared to new bonds issued at higher yields.

* B is correct because the bond's market value decreases as its yield increases.

* A is incorrect because bond values decrease, not increase, with rising yields.

* C is incorrect because the face value (par value) remains unchanged.

* D is incorrect because changes in yield directly affect the bond's market price.

NEW QUESTION # 266

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