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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q46-Q51):

### NEW QUESTION # 46

A currency devaluation impacts a country's economic activity in which of the following ways?

- A. Increases imports from merchandise trade countries
- B. Decreases gross domestic product (GDP)
- C. Decreases inflation

- D. Makes exports cost less in merchandise trade countries

**Answer: D**

Explanation:

Currency devaluation reduces the value of a country's currency relative to others, making its exports cheaper and more competitive internationally. This stimulates demand for the country's goods and services.

- \* D is correct because devaluation reduces export costs, encouraging foreign buyers.
- \* A is incorrect because devaluation can increase inflation by raising the cost of imported goods.
- \* B is incorrect because GDP often rises due to increased export demand.
- \* C is incorrect because imports become more expensive after devaluation, reducing demand.

#### NEW QUESTION # 47

A customer purchases 100 shares of stock on Thursday, August 2. This transaction must settle regular way no later than:

- A. Monday, August 6
- B. Wednesday, August 8
- C. Friday, August 3
- D. Tuesday, August 7

**Answer: A**

Explanation:

Step by Step Explanation:

- \* Regular-Way Settlement: For equity securities, settlement occurs on a T+2 basis, meaning two business days after the trade date.
  - \* Calculation:
  - \* Trade Date (T): Thursday, August 2.
  - \* T+2 Settlement: Excludes weekends, so settlement falls on Monday, August 6.
  - \* Incorrect Options:
  - \* A: Reflects T+1, not the correct settlement cycle.
  - \* C & D: Extend beyond the standard T+2 cycle.
- References:
- \* FINRA and SEC Settlement Rules: SEC Settlement Rules.

#### NEW QUESTION # 48

A registered representative who is terminated from a broker-dealer must notify FINRA of a residential address change for what period of time after termination?

- A. Three years
- B. Two years
- C. One year
- D. Six years

**Answer: B**

Explanation:

Step by Step Explanation:

- \* FINRA Rule 1122: Requires that registered representatives update their residential address with FINRA for two years post-termination.
  - \* Purpose: This ensures accurate records for potential regulatory inquiries during the statutory two-year period when a terminated individual remains subject to FINRA's jurisdiction.
- :
- FINRA Rule 1122 (Filing False or Misleading Information): FINRA Rule 1122.

#### NEW QUESTION # 49

Which of the following responses describes a collateralized mortgage obligation (CMO) tranche?

- A. The yield a customer should expect if the CMO is held to maturity

- B. The estimated average life of the CMO expressed in years and months
- C. The method of underwriting used by the issuer to securitize the loans in the portfolio
- D. A slice of the investment representing a coupon rate, maturity date, and credit rating

**Answer: D**

Explanation:

CMOs are divided into tranches, which are portions of the pool of mortgage-backed securities. Each tranche has its own characteristics, including coupon rate, maturity date, and credit rating, tailored to meet the needs of different investors.

- \* C is correct because tranches represent slices of the investment with specific terms.
- \* A is incorrect because the yield depends on prepayment rates and interest rate changes.
- \* B is incorrect as average life is an estimate, not a defining characteristic of a tranche.
- \* D is incorrect because underwriting is unrelated to the definition of a tranche.

Reference: SIE Study Guide, Chapter 3: Collateralized Mortgage Obligations (CMOs)

### NEW QUESTION # 50

Which of the following events requires reporting on a Form U4?

- A. A bench warrant for missing a court date
- B. A gross-misdemeanor domestic assault conviction
- C. A misdemeanor speeding ticket
- D. A felony conviction for drunk driving

**Answer: D**

Explanation:

Form U4 (Uniform Application for Securities Industry Registration or Transfer) requires disclosure of any felony convictions, regardless of whether they are securities-related. A felony conviction for drunk driving falls under this requirement.

- \* B is correct because a felony conviction must be reported on Form U4.
- \* A is incorrect as misdemeanor speeding tickets do not require disclosure unless they involve fraud, theft, or dishonesty.
- \* C is incorrect as bench warrants are not reportable unless they lead to a conviction.
- \* D is incorrect because gross misdemeanors (except those involving fraud or dishonesty) do not require reporting.

Reference: FINRA By-Laws, Article V, Section 2; Form U4 Instructions

### NEW QUESTION # 51

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