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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q144-Q149):

### NEW QUESTION # 144

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

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

**Answer: D**

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.

- \* Cis incorrect because the Investment Advisers Act of 1940 pertains to investment advisers.
- \* Dis incorrect because the Investment Company Act of 1940 governs mutual funds and other investment companies.

#### NEW QUESTION # 145

A customer owns 100 shares of ABC with a current market value of \$5.00 per share. The company undergoes a 1-for-2 reverse split of the stock. Which of the following statements is true of the customer's holdings and the price of the stock?

- A. The customer will have 200 shares at \$2.50 per share.
- **B. The customer will have 50 shares at \$10.00 per share.**
- C. The customer will have 1,000 shares at \$0.50 per share.
- D. The customer will have 100 shares at \$5.00 per share.

**Answer: B**

Explanation:

Step by Step Explanation:

- \* Reverse Split Calculation: A 1-for-2 reverse split reduces the number of shares by half while doubling the price per share.
- \* Pre-Split Holdings: 100 shares at \$5.00 = \$500.
- \* Post-Split Holdings: 50 shares at \$10.00 = \$500.
- \* Incorrect Options: The total value remains unchanged; only the number of shares and price per share adjust.

References:

- \* FINRA Corporate Actions Guidance: FINRA Reverse Splits.

#### NEW QUESTION # 146

The price of a company's stock falls several points because of the estimated costs of complying with pending regulations. For the company's stockholders, this is an example of which of the following types of risk?

- A. Credit risk
- B. Capital risk
- **C. Political risk**
- D. Liquidity risk

**Answer: C**

Explanation:

This situation is best classified as political risk, specifically regulatory risk, because the stock's decline is driven by the anticipated impact of government action-pending regulations-on the company's future profitability. Political risk includes changes in laws, rules, regulatory enforcement, tax policy, or other governmental decisions that can alter an issuer's operating environment. When a company expects higher compliance costs, investors may reduce expected earnings or cash flow projections, which commonly leads to a lower valuation and therefore a lower stock price. That cause-and-effect relationship-government-driven change leading to a market value adjustment-is the core idea of political risk.

It is not credit risk, which focuses on whether a debt issuer can meet interest and principal payments.

Stockholders are affected by equity value changes, and the prompt does not indicate an increased likelihood of default or missed payments on debt. It is not liquidity risk, which concerns the ability to sell the stock quickly at a fair price without significantly moving the market; the question does not mention thin trading, wide bid-ask spreads, or difficulty finding buyers. While capital (principal) risk broadly applies to most equity investments because market prices can decline, the question is asking for the specific type of risk causing the decline. Here, the driver is regulatory costs from pending government rules, which points directly to political risk.

This aligns with the SIE focus on identifying risk types and recognizing how external forces-especially governmental or regulatory developments-can affect securities markets and issuer valuations.

#### NEW QUESTION # 147

When is it permissible to exercise European-style options contracts?

- A. Only on the last business day before expiration
- B. Only on the day after expiration
- C. Only on the third Friday of every month
- **D. Only on the day of expiration**

**Answer: D**

Explanation:

Step by Step Explanation:

\* European-Style Options: Can only be exercised on their expiration date, unlike American-style options, which can be exercised any time before expiration.

\* Incorrect Options:

\* A: Not accurate; the exercise must occur specifically on the expiration date.

\* C: Options cannot be exercised after expiration.

\* D: The expiration date depends on the option contract, not a specific weekday.

References:

\* Options Clearing Corporation (OCC) Guidelines: OCC European Options.

#### **NEW QUESTION # 148**

Which of the following responses describes a common feature of a hedge fund?

- A. Low minimum investment requirement
- **B. Low liquidity for investors**
- C. Transparent as to the underlying investments and strategies
- D. Primarily focused on fixed income investments

**Answer: B**

Explanation:

Step by Step Explanation:

\* Low Liquidity: Hedge funds often impose lock-up periods and restrict redemptions, leading to low liquidity for investors.

\* Incorrect Options:

\* B: Hedge funds typically have high minimum investment requirements, often \$1 million or more.

\* C: Hedge funds employ diverse strategies, not just fixed income.

\* D: Hedge funds are generally opaque about their strategies and holdings to protect their competitive advantage.

References:

\* SEC Investor Bulletin on Hedge Funds: SEC Hedge Funds.

#### **NEW QUESTION # 149**

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