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Financial Industry Regulatory Authority
Securities Industry Essentials (SIE) Exam

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TEST RESULT	
Result:	Pass

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q118-Q123):

NEW QUESTION # 118

For up to how many business days is a firm initially permitted to place a temporary hold on disbursements for a specified adult account in which the firm reasonably believes financial exploitation has occurred?

- A. 10 business days
- B. 15 business days
- C. 5 business days
- D. 3 business days

Answer: A

Explanation:

Step by Step Explanation:

- * Temporary Hold Period: Under FINRA Rule 2165, a firm can initially place a hold on disbursements for up to 10 business days if financial exploitation is suspected.
- * Additional Holds: The period may be extended by an additional 10 business days if warranted and allowed by state law.
- * Incorrect Options:
- * A & B: These are shorter than the permissible period.
- * D: The initial hold period is capped at 10 business days.

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FINRA Rule 2165 (Financial Exploitation of Specified Adults); FINRA Rule 2165.

NEW QUESTION # 119

Shares in a private investment in public equity (PIPE) offering are priced:

- A. Below the current market value per share.
- B. At the current market value per share.
- C. Above the current market value per share.
- D. At the public offering price (POP) as determined by the underwriters.

Answer: A

Explanation:

Step by Step Explanation:

* PIPE Offerings: Typically priced below the current market value to incentivize institutional investors to participate in these transactions.

* Discount: The discounted price compensates for the potential illiquidity and risk associated with PIPE offerings.

* POP/Market Value: These do not apply to private offerings structured as PIPE transactions.

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SEC PIPE Offering Guidance: SEC PIPE Offerings.

NEW QUESTION # 120

A customer is unhappy about a \$5,000 loss in a stock that the registered representative (RR) recommended and threatens to call FINRA's Securities Helpline for Seniors about the matter. What is the most appropriate next step for the RR to take?

- A. The RR should call FINRA's Securities Helpline for Seniors before the customer does and explain their side of the story.
- B. The RR should notify their supervisor about the customer's dissatisfaction.
- C. The RR should alert their compliance department to update their Form U4 with the complaint details.
- D. The RR is permitted to reimburse the customer for the loss to resolve the customer's complaint.

Answer: B

Explanation:

Step by Step Explanation:

* Escalation Requirement: The RR must promptly notify their supervisor or compliance department about the customer's complaint as required by FINRA rules. Supervisors handle customer complaints according to firm procedures.

* Incorrect Options:

* B: Reimbursing the customer is not permissible without firm approval and may create compliance issues.

* C: Complaints requiring Form U4 updates involve specific allegations such as fraud, not general dissatisfaction.

* D: The RR should not contact FINRA directly; the firm will handle communications.

FINRA Rule 4530 (Reporting Requirements); FINRA Rule 4530.

NEW QUESTION # 121

Which of the following entities issues certificates of deposit (CDs)?

- A. Banks
- B. Broker-dealers
- C. Federal Reserve
- D. FDIC

Answer: A

Explanation:

Certificates of Deposit (CDs) are time deposit accounts issued by banks, offering fixed interest rates for a specified term. CDs are insured by the FDIC up to \$250,000 per depositor, but the issuing entity is the bank itself.

* B is correct because banks issue CDs.

* A is incorrect because the FDIC insures CDs but does not issue them.

* C is incorrect because broker-dealers may facilitate the purchase of CDs but do not issue them.

* D is incorrect because the Federal Reserve does not issue CDs; it manages monetary policy.

NEW QUESTION # 122

An investor sells shares of a closed-end fund at the market. Which of the following responses best describes the net proceeds to be received?

- A. Net asset value (NAV)
- B. NAV less any redemption fee
- C. Public offering price (POP) less any redemption fee
- D. Bid price less any commission

Answer: D

Explanation:

Step by Step Explanation:

* Closed-End Funds: Trade on exchanges like stocks, and the investor receives the bid price (market price) minus any applicable commissions.

* Incorrect Options:

* A & B: NAV applies to open-end mutual funds, not closed-end funds.

* D: POP applies to initial sales of mutual fund shares.

References:

* SEC Guidance on Closed-End Funds: SEC Closed-End Funds.

NEW QUESTION # 123

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