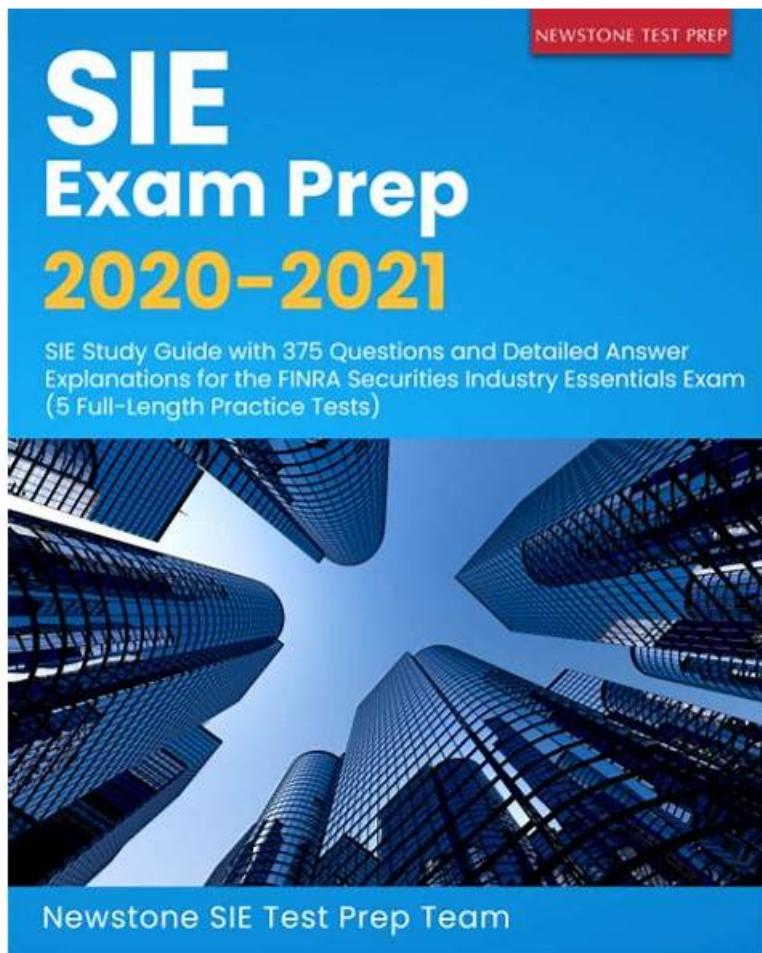


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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q22-Q27):

## NEW QUESTION # 22

A summary prospectus for a mutual fund must contain which of the following information?

- A. Fund's portfolio holdings
- B. Control persons and principal owners of the fund
- C. Projected return
- D. **Investment objectives**

**Answer: D**

Explanation:

Step by Step Explanation:

\* Summary Prospectus Content: Must include key information such as the fund's investment objectives, risks, fees, and past performance. This helps investors make informed decisions.

\* Incorrect Options:

\* A: Projected returns are speculative and not included in the prospectus.

\* C & D: Detailed portfolio holdings and control persons are included in the full prospectus, not the summary.

References:

\* SEC Rule 498 (Summary Prospectuses): SEC Prospectus Requirements.

## NEW QUESTION # 23

A customer purchases \$3,000 of XYZ, which settles today in a margin account. The customer has no other positions or balances. According to initial margin requirements, what is the amount of the required deposit?

- A. \$1,500
- B. \$3,000
- C. **\$2,000**
- D. \$2,500

**Answer: C**

Explanation:

Under Federal Reserve Regulation T, customers must deposit at least 50% of the purchase price for margin trades. However, the minimum deposit requirement is \$2,000, regardless of the 50% rule, if the account is below this threshold.

\*  $50\% \text{ of } \$3,000 = \$1,500$ .

\* Since \$1,500 is less than the \$2,000 minimum, the customer must deposit the full \$2,000.

\* B is correct because \$2,000 is the required minimum deposit.

\* A is incorrect because the \$1,500 calculation does not meet the minimum.

\* C and D are incorrect because they exceed the minimum deposit requirement.

Reference: Federal Reserve Regulation T; SIE Study Guide, Chapter 4: Margin Accounts

## NEW QUESTION # 24

The provision that allows a bond issuer to purchase bonds from customers prior to the maturity date on the bond is known as a:

- A. **Call**
- B. Put
- C. Defeasement
- D. Conversion

**Answer: A**

Explanation:

Step by Step Explanation:

\* Call Provision: This allows the issuer to redeem bonds before their maturity date, usually at a premium to the par value, which benefits the issuer in a declining interest rate environment.

\* Put Provision: Allows bondholders, not issuers, to sell the bond back to the issuer.

\* Conversion: Relates to convertible bonds that can be converted into equity.

\* Defeasement: Refers to the removal of a bond issuer's obligation by setting aside cash or securities to cover the debt.

References:

\* SEC Guide on Callable Bonds: SEC Callable Bonds.

### NEW QUESTION # 25

Which of the following listed securities carries voting rights?

- A. Common stock
- B. Corporate bond
- C. Preferred stock
- D. Convertible bond

**Answer: A**

Explanation:

Step by Step Explanation:

\* Common Stock: Holders of common stock typically have voting rights, which allow them to participate in decisions like electing the board of directors or approving major corporate actions.

\* Other Securities:

\* Preferred Stock: Usually does not carry voting rights.

\* Corporate and Convertible Bonds: Debt instruments, so they do not confer voting rights.

:

SEC Guide on Stock Voting Rights: SEC Voting Rights.

### NEW QUESTION # 26

Assume that the economy is operating at nearly full capacity. The initial results of an oversupply of money are most likely to have the greatest impact on which of the following macroeconomic factors?

- A. Inflation rate
- B. Real output
- C. Velocity of money
- D. Unemployment rate

**Answer: A**

Explanation:

When an economy operates near full capacity, additional money in circulation leads to inflation, as demand exceeds the economy's ability to increase supply.

\* B is correct because inflation is the primary impact when supply cannot keep up with excess demand.

\* A is incorrect because output does not significantly increase when capacity is already maximized.

\* C is incorrect because velocity measures the rate at which money circulates, not the impact of oversupply.

\* D is incorrect as unemployment is already low when the economy is at full capacity.

### NEW QUESTION # 27

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