

# FINRA SIE Latest Exam - SIE Reliable Braindumps Free

## 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 Depository Receipts (ADRs)
- D. Securities issued by the federal government - ANSWER C. American Depository 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 practice questions are based on recently released FINRA SIE exam objectives. Includes a user-friendly interface allowing you to take the FINRA SIE Practice Exam on your computers, like downloading the PDF, Web-Based FINRA SIE practice test software, and Desktop FINRA SIE practice exam software.

## FINRA SIE Exam Syllabus Topics:

| Topic   | Details  |
|---------|--|
| Topic 1 | <ul style="list-style-type: none"><li>• Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including registration and continuing education for associated persons. Candidates must understand the distinction between registered and non-registered individuals and the requirements for maintaining industry qualifications.</li></ul>             |
| Topic 2 | <ul style="list-style-type: none"><li>• 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.</li></ul> |

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|---------|--|
| Topic 3 | <ul style="list-style-type: none"> <li>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.</li> </ul>  |
| Topic 4 | <ul style="list-style-type: none"> <li>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.</li> </ul> |
| Topic 5 | <ul style="list-style-type: none"> <li>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.</li> </ul>  |

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q94-Q99):

### NEW QUESTION # 94

Publicly traded limited partnership interests are typically considered:

- A. Mutual funds
- B. Derivative investments
- **C. Equity securities**
- D. Fixed-income securities

**Answer: C**

Explanation:

Step by Step Explanation:

\* Publicly Traded Limited Partnerships (PTPs): Represent ownership stakes, which categorize them as equity securities. PTPs often involve sectors like real estate or energy.

\* Incorrect Options:

- \* A: Mutual funds are pooled investment vehicles, not partnerships.
- \* C: Fixed-income securities are debt instruments like bonds.
- \* D: Derivatives include options or futures, not ownership stakes.

References:

- \* SEC Guidance on Publicly Traded Partnerships: SEC PTPs.

### NEW QUESTION # 95

Trades that settle within the period preset by regulators of the particular market are considered to have which of the following types of settlement?

- A. Cash
- **B. Regular way**
- C. Rolling
- D. Next day

**Answer: B**

Explanation:

"Regular way" settlement refers to the standard settlement cycle for securities transactions, which is T+2 for most stocks and bonds. This timeline is set by regulators to ensure orderly processing of trades.

- \* D is correct because regular way settlement follows the preset T+2 cycle.
- \* A is incorrect because cash settlement occurs the same day as the trade.
- \* B is not a recognized term for settlement types.
- \* C is incorrect because next-day settlement applies only to specific securities (e.g., Treasury securities).

Reference: SEC Rule 15c6-1

**NEW QUESTION # 96**

Under which of the following circumstances, if any, is a registered representative (RR) permitted to share in the profits and losses of security interests that the RR has purchased jointly with a customer?

- **A. When the profits and losses are proportionate to the amount contributed by the RR**
- B. Only when the customer is an accredited investor
- C. Under no circumstances
- D. Only if the RR's firm is also a participant in the sharing arrangement

**Answer: A**

Explanation:

Under FINRA Rule 2150, registered representatives may share in profits and losses in a customer's account if

- \* The customer provides written consent.
- \* The arrangement is approved by the RR's firm.
- \* The sharing is proportional to the RR's financial contribution.
- \* C is correct because it aligns with FINRA requirements.
- \* A, B, and D are incorrect because they do not meet the necessary conditions for sharing.

**NEW QUESTION # 97**

Which of the following statements describes a characteristic of exchange-traded funds (ETFs)?

- A. ETFs are offered with front-end or back-end loads.
- B. ETFs are not permitted to be purchased on margin.
- **C. ETF expense ratios are generally lower than those of mutual funds.**
- D. ETFs are purchased and sold daily at net asset value (NAV).

**Answer: C**

Explanation:

Step by Step Explanation:

\* ETF Expense Ratios: ETFs generally have lower expense ratios compared to mutual funds due to their passive management style.

\* Incorrect Options:

- \* A: ETFs do not have sales loads; they are traded like stocks.
- \* B: ETFs can be purchased on margin, like other equities.
- \* C: ETFs are traded throughout the day at market prices, not NAV.
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SEC ETF Fact Sheet: SEC ETF Info.

**NEW QUESTION # 98**

Under which of the following circumstances, if any, is it permissible for an individual without a Power of Attorney (POA) to sign a customer's name on their behalf?

- A. Upon approval by a firm principal
- B. Upon receipt of verbal authorization provided that written authorization is subsequently provided
- C. When accounts are fully discretionary
- D. Never permissible to sign a customer's name on their behalf

**Answer: D**

### Explanation:

### Step by Step Explanation:

\* Prohibition on Signing Customer Names: It is never permissible to sign a customer's name without written authorization (POA) due to legal and ethical concerns. Unauthorized signing constitutes forgery and violates FINRA rules.

### \* Incorrect Options:

\* A: Firm principal approval does not override this prohibition.

\* B: Verbal authorization is insufficient.

\* C: Discretionary authority does not allow unauthorized signing.

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FINRA Rule 4512 (Customer Account Information): FINRA Rule 4512.

## NEW QUESTION # 99

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