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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 (Q106-Q111):

NEW QUESTION # 106

Which of the following disclosures is a municipal securities dealer required to provide its customers once every calendar year?

- A. The location and availability of the MSRB investor brochure
- B. The firm's financial standing
- C. FINRA violations of all registered representatives
- D. The firm's address

Answer: A

Explanation:

Step by Step Explanation:

* MSRB Rule G-10: Requires municipal securities dealers to notify customers annually about the availability of the MSRB investor

brochure, which explains investor protections and complaint filing procedures.

* Incorrect Options:

* A and B: Address and financial standing are not specifically required disclosures.

* C: FINRA violations are not a required disclosure under MSRB rules.

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MSRB Rule G-10 (Investor Brochure Requirement): MSRB Rule G-10.

NEW QUESTION # 107

An investor generally purchases an open-end mutual fund from which of the following parties?

- A. The NYSE
- B. The fund's custodian
- C. An existing shareholder
- **D. The fund's underwriter**

Answer: D

Explanation:

Step by Step Explanation:

* Open-End Mutual Funds: Shares are purchased directly from the fund or its underwriter at the current Net Asset Value (NAV), plus any applicable sales charges.

* Custodian: Holds the fund's assets but does not sell shares.

* NYSE and Shareholders: Open-end funds do not trade on exchanges or between individual shareholders.

SEC Mutual Fund Basics: SEC Mutual Funds.

NEW QUESTION # 108

Which of the following must a registered representative disclose as an outside business activity (OBA) on his Form U4?

- A. Trustee on a grandparent's estate account
- B. Board member serving without compensation for a not-for-profit entity
- C. Volunteer work for a local charity
- **D. Board member for a publicly traded company**

Answer: D

Explanation:

FINRA Rule 3270 requires registered representatives to disclose all outside business activities that involve compensation or could reasonably be perceived as a conflict of interest.

* C is correct because serving as a board member for a publicly traded company is a business activity requiring disclosure, even if compensation is indirect.

* A is incorrect because volunteer work for charities does not require disclosure.

* B is incorrect because acting as a trustee for a personal or family estate is generally not considered an OBA.

* D is incorrect because unpaid board membership for a not-for-profit entity does not typically require disclosure.

NEW QUESTION # 109

A Form 10-K is required to include which of the following information?

- A. Photos and images of key properties
- B. Graphs depicting company earnings
- **C. Financial statements**
- D. Historic stock prices

Answer: C

Explanation:

A Form 10-K is an annual report filed by public companies with the SEC and includes audited financial statements. Financial statements are central to investor analysis because they provide structured information about the issuer's financial condition, operating results, cash flows, and material business risks. Choice B is correct. Historic stock prices may be referenced in investor

materials or market data services, but they are not the required core content identified by this question. Graphs depicting earnings may appear in annual reports or investor presentations, but graphic presentation is not the required regulatory substance. Photos and images of key properties may be used for marketing or descriptive purposes, but they are not required financial disclosure. The SIE outline includes the purpose of financial statements, such as the balance sheet and income statement, under business economic factors. It also includes SEC registration, reporting concepts, and disclosure obligations in the capital markets framework. A Form 10-K is fundamentally a disclosure document designed to provide standardized, decision-useful financial and business information to investors and regulators. Reference: Knowledge of Capital Markets; Business Economic Factors; purpose of financial statements; SEC regulatory disclosures.

NEW QUESTION # 110

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 alert their compliance department to update their Form U4 with the complaint details.
- **C. The RR should notify their supervisor about the customer's dissatisfaction.**
- D. The RR is permitted to reimburse the customer for the loss to resolve the customer's complaint.

Answer: C

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 # 111

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