

# Exam SIE Reviews & New SIE Exam Testking

## SIE Exam Outline

| Content Domains                                                        | Scored Questions | Percentage of Examination |
|------------------------------------------------------------------------|------------------|---------------------------|
| 1. Knowledge of Capital Markets                                        | 12               | 16%                       |
| 2. Understanding Products and Their Risks                              | 33               | 44%                       |
| 3. Understanding Trading, Customer Accounts, and Prohibited Activities | 23               | 31%                       |
| 4. Overview of the Regulatory Framework                                | 7                | 9%                        |

**Time limit:** 1 hour and 45 minutes

**Total questions:** 85

**Question format:** Multiple-choice

**Delivery format:** Computer-based

**Mometrix TEST PREPARATION**

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q93-Q98):

### NEW QUESTION # 93

A customer buys 100 ABC at \$50 and at the same time sells an ABC April 50 call at \$8. At expiration, ABC must be at what market price for the customer to break even?

- A. \$50
- B. \$42

- C. \$44
- D. \$58

**Answer: B**

Explanation:

Step by Step Explanation:

\* Breakeven Calculation: For covered call writing, breakeven is the stock purchase price minus the premium received.

\* Purchase Price = \$50

\* Premium Received = \$8

\* Breakeven = \$50 - \$8 = \$42.

\* Other Options:

\* B, C, and D: Incorrect because they do not reflect the proper calculation of stock price minus the premium.

References:

\* Options Clearing Corporation (OCC) Education: OCC Options Guidance.

### NEW QUESTION # 94

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

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

**Answer: D**

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 # 95

Which of the following statements is true regarding 529 savings plans?

- A. There are income limitations for contributing to a 529 savings plan.
- **B. Assets are transferable to another 529 savings plan tax-free if the new beneficiary is a family member of the current beneficiary.**
- C. The account beneficiary has control over the assets in a 529 savings plan.
- D. 529 contributions are tax deductible in all states.

**Answer: B**

Explanation:

529 savings plans are state-sponsored education savings accounts that offer tax-advantaged growth. Key features include:

\* Contributions are not federally tax deductible (some states offer state-level deductions).

\* No income limitations for contributions.

\* The account owner, not the beneficiary, controls the plan.

\* Assets can be transferred tax-free to another family member's 529 plan.

\* D is correct because tax-free rollovers are allowed for family members of the current beneficiary.

\* A is incorrect as contributions are not universally tax deductible.

\* B is incorrect as there are no income limitations for contributing.

\* C is incorrect because the account owner, not the beneficiary, controls the assets.

### NEW QUESTION # 96

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. Conversion
- D. Defeasement

**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 # 97

A customer purchased \$80,000 of Fund XYZ two years ago. He now wants to buy \$50,000 of Fund LMN offered within the same fund family, which offers a \$100,000 breakpoint under right of accumulation. Which of the following statements is true?

- A. The customer must sign a new letter of intent to receive the \$100,000 breakpoint on the additional purchase.
- B. The additional investment qualifies for a \$100,000 breakpoint.
- C. Each fund requires contributions of \$100,000 to qualify for a breakpoint.
- D. The customer will receive a sales charge discount on his next purchase after the account balance of the fund reaches \$100,000.

**Answer: B**

Explanation:

Step by Step Explanation:

\* Right of Accumulation: Allows an investor to combine the value of existing investments within the same fund family to qualify for a breakpoint (reduced sales charge) on new purchases.

\* Current Holdings: \$80,000

\* New Purchase: \$50,000

\* Total: \$130,000, qualifying for the \$100,000 breakpoint.

\* Incorrect Options:

\* B: Contributions from all funds within the same family can be aggregated.

\* C: A new letter of intent is unnecessary; right of accumulation applies automatically.

\* D: Discounts apply immediately, not retroactively.

References:

\* FINRA Guidance on Breakpoints: FINRA Breakpoints.

### NEW QUESTION # 98

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