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SIE Practice Exam Questions With 100% Correct And Verified Answers 2024

An individual who has been previously registered with another firm is applying for registration with a new member firm. The new member firm has requested the Form U5 from the applicant. Within how many days must the applicant provide the Form U5 from his previous registration? - Correct Answer-2 business days

If the member requests the Form U5 from the applicant, it must be provided within 2 business days

A mutual fund that charges the maximum sales charge of 8½% allowable by the Investment Company Act of 1940 does NOT have to offer - Correct Answer-Exchange rights.

Exchange rights are a convenience privilege and are not required by the Act. All of the other rights must be made available to investors in order to collect the maximum sales charges.

Which type of preferred stock would potentially pay dividends in addition to the stated dividend if a company has excess earnings? - Correct Answer-Participating preferred

Participating preferred allows investors to participate in excess earnings after the company has met its normal interest and dividend obligations. In other words, investors may receive dividends in addition to the stated dividend.

Which of the following is exempt from FINRA Rule 5130, which prohibits the purchase of IPOs by member firms and associated persons? - Correct Answer-An associated person whose limited registration permits selling only investment company products

An associated person with a limited registration is not a restricted person. The other associated persons are restricted. Whether an associated person plans to sell the IPO and whether the member firm is involved with the offering is irrelevant.

An investment advisor that maintains physical custody of a client's securities must do which of the following? - Correct Answer-Maintain the securities in a separate account under the client's or advisor's name

Clients' monies and securities must be maintained in a separate account under either the client's name or in a separate account with only the funds of the advisor's clients under the advisor's name. They cannot be commingled (combined) with the firm's funds and securities.

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none">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.
Topic 2	<ul style="list-style-type: none">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.
Topic 3	<ul style="list-style-type: none">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.
Topic 4	<ul style="list-style-type: none">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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q179-Q184):

NEW QUESTION # 179

Under the Investment Company Act of 1940, which of the following products are considered redeemable securities?

- A. Shares of unit investment trusts (UITs) purchased through a public offering
- B. Short-term paper
- C. Master limited partnerships
- D. Shares issued by a closed-end investment company

Answer: A

Explanation:

Redeemable securities are those that can be sold back to the issuer.

* D is correct because unit investment trusts (UITs) issue redeemable securities.

* C is incorrect because closed-end fund shares are traded on secondary markets, not redeemable.

* A and B do not meet the definition of redeemable securities.

NEW QUESTION # 180

Which of the following statements is a characteristic of a government bond fund?

- A. Government bond funds are diversified.
- B. If interest rates fall, the net asset value (NAV) of the fund will likely drop as well.
- C. The value of the fund is not guaranteed by the government or any federal agency.
- D. Dividend/interest payments will be the same each month.

Answer: C

Explanation:

Step by Step Explanation:

* Government Bond Funds: Invest in government-backed securities, but the value of the fund itself is not guaranteed by the government, as these funds are subject to market risks.

* Incorrect Options:

* A: Diversification depends on the fund's investment strategy.

* B: Interest/dividend payments may fluctuate.

* C: If interest rates fall, NAVs typically rise, not drop.

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SEC Guidance on Mutual Funds: SEC Government Bond Funds.

NEW QUESTION # 181

Which of the following types of accounts permits an investor to borrow money from a broker-dealer to help pay for a trade?

- A. An individual retirement account (IRA)
- B. Delivery versus payment (DVP) / receive versus payment (RVP)
- C. Cash
- D. Margin

Answer: D

Explanation:

Step by Step Explanation:

* Margin Accounts: Allow investors to borrow funds to purchase securities, with the securities serving as collateral for the loan.

* Cash Accounts: Require full payment for securities purchased.

* IRAs: Do not permit borrowing due to their tax-advantaged status.

* DVP/RVP: Settlement mechanisms, not account types for borrowing.

References:

* FINRA Rule 4210 (Margin Requirements): FINRA Rule 4210.

NEW QUESTION # 182

When is a newly registered person subject to the Continuing Education Regulatory Element requirement?

- A. The calendar year following initial registration
- B. On the anniversary date of initial registration
- C. Every three years after the date of registration
- D. Every five years

Answer: B

Explanation:

Step by Step Explanation:

* Regulatory Element Requirement: Newly registered persons must complete the Continuing Education (CE) Regulatory Element on the second anniversary of their initial registration and every three years thereafter.

* Incorrect Options:

* A: The requirement begins on the second anniversary, not the following calendar year.

* D: The cycle is every three years, not five.

References:

* FINRA Rule 1240 (Continuing Education): FINRA Rule 1240.

NEW QUESTION # 183

Which of the following statements is true with regard to SIPC and FDIC?

- A. Money market mutual funds are covered by the FDIC and are not covered by SIPC.
- B. Securities held at broker-dealers are covered by the FDIC and are not covered by SIPC.
- C. SIPC protects brokerage accounts, and FDIC protects bank deposits.
- D. SIPC coverage is only for securities, and FDIC coverage is only for cash.

Answer: C

Explanation:

Step by Step Explanation:

* SIPC Coverage: Protects customers of brokerage firms against the loss of securities and cash due to broker-dealer insolvency, but it does not protect against market losses.

* FDIC Coverage: Protects bank deposits (checking, savings, CDs) up to \$250,000 per depositor, per institution.

* Incorrect Options:

* A: SIPC covers both securities and cash held at brokerage firms (within limits).

* C & D: Money market mutual funds are not FDIC insured, and securities are not covered by the FDIC.

References:

* SIPC Overview: SIPC Coverage.

* FDIC Insurance: FDIC Coverage.

NEW QUESTION # 184

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