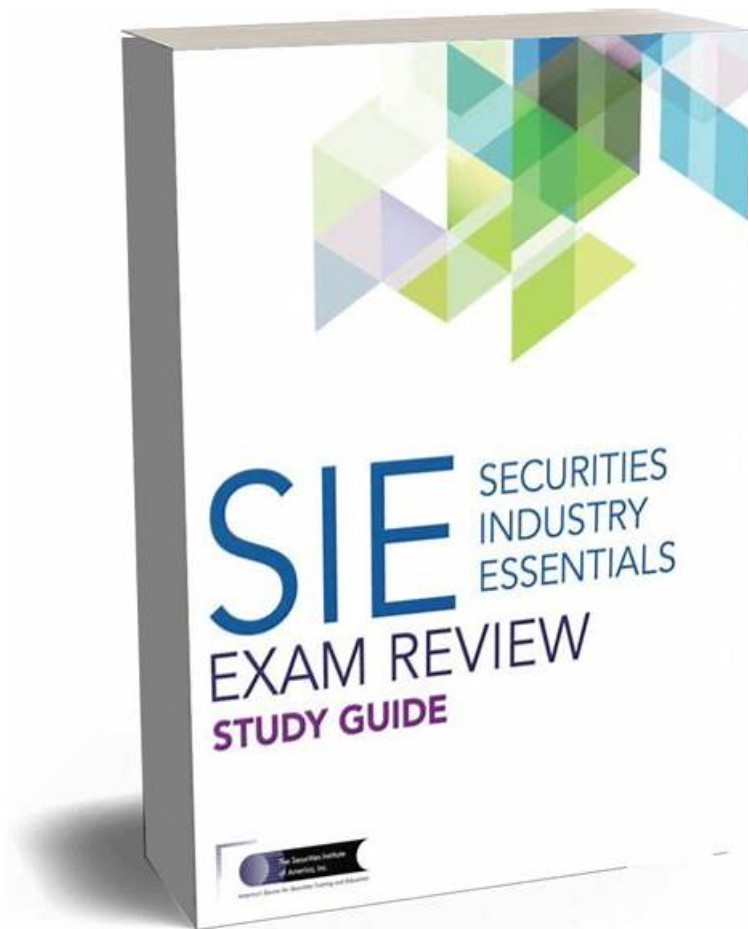


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## **FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q93-**

## Q98):

### NEW QUESTION # 93

A registered representative (RR) receives a mutual fund order from a customer at 4:10 p.m. ET. Which of the following statements is true regarding this order?

- A. It must be accepted as an "as/of" trade for today's price.
- B. It must be executed at the next day's opening price.
- C. It is not permitted to be accepted as it was received after the market close.
- **D. It must be executed at the next closing price.**

**Answer: D**

Explanation:

Mutual funds are traded based on forward pricing. Orders received after the market closes are executed at the NAV calculated at the next market close.

\* A is correct because it aligns with forward pricing rules.

\* B, C, and D are incorrect as they do not follow mutual fund trade practices.

### NEW QUESTION # 94

Which of the following statements is true of the writer of a listed equity call option?

- A. They have the right to sell stock at a fixed strike price.
- B. They have the right to buy stock at a fixed strike price.
- **C. They have the obligation to sell stock at a fixed strike price.**
- D. They have the obligation to buy stock at a fixed strike price.

**Answer: C**

Explanation:

Step by Step Explanation:

\* Call Option Writer: When writing (selling) a call option, the writer has the obligation to sell the underlying stock at the strike price if the buyer exercises the option.

\* Incorrect Options:

\* A & B: Only the option buyer has rights, not the writer.

\* D: Obligations to buy stock apply to put option writers, not call option writers.

References:

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

### NEW QUESTION # 95

A hedge fund is most suitable for an investor who is seeking:

- **A. growth and has a long-term time horizon.**
- B. to produce additional income without risking their principal.
- C. growth but is highly fee-sensitive.
- D. diversification but may need access to the funds in the short term.

**Answer: A**

Explanation:

The correct answer is B, growth and has a long-term time horizon. Hedge funds are alternative investments that typically pursue aggressive growth strategies, such as leverage, short selling, derivatives, and arbitrage.

These strategies can offer higher returns but also involve higher risk and volatility, making them suitable for investors with a long-term investment horizon who can tolerate potential losses.

Step-by-step, hedge funds often impose lock-up periods and limited liquidity, meaning investors cannot easily withdraw their funds in the short term. This makes them inappropriate for investors who may need quick access to their money, eliminating Choice D.

Choice A is incorrect because hedge funds are known for high fees, commonly structured as "2 and 20" (2% management fee and 20% performance fee). Therefore, they are not suitable for fee-sensitive investors.

Choice C is also incorrect because hedge funds do not guarantee principal protection and can experience significant losses. They are

not designed for conservative income-seeking investors.

Thus, hedge funds are best suited for investors seeking capital appreciation, who understand the risks, accept high fees, and have a long-term perspective, making Answer B correct.

### NEW QUESTION # 96

Which of the following securities has the greatest investment risk?

- A. Government bonds
- **B. Technology stocks**
- C. Blue chip stocks
- D. Corporate bonds

**Answer: B**

Explanation:

Technology stocks are considered high-risk investments due to their volatility and sensitivity to economic cycles, regulatory changes, and technological advancements. While they may offer significant growth potential, they carry greater risk than blue chip stocks, corporate bonds, or government bonds.

\* C is correct because technology stocks are subject to high volatility and risk.

\* A is incorrect because blue chip stocks are generally stable and lower-risk.

\* B is incorrect because corporate bonds carry moderate risk, depending on the issuer's creditworthiness.

\* D is incorrect because government bonds are considered low-risk due to the backing of the issuing government.

Reference: SIE Study Guide, Chapter 6: Investment Risks

### NEW QUESTION # 97

A registered representative of Firm ABC plans to give a gift to the treasurer of Company XYZ as a thank you for recent transactions. If no other gifts were given to the treasurer during the year, which of the following gifts would violate FINRA rules?

- A. \$75 bottle of wine
- B. \$100 sports event ticket
- **C. \$125 store gift card**
- D. \$90 concert ticket

**Answer: C**

Explanation:

FINRA's gifts rule (commonly tested as the \$100 per person per year limit) restricts the value of gifts that a member or associated person may give to any one person where the gift is in relation to the recipient's business. The key test concept is: gifts tied to business cannot exceed \$100 annually per recipient (with certain distinctions for bona fide personal gifts and "ordinary and usual business entertainment"). In this question, the gifts are explicitly "as a thank you for recent transactions," so the business-related gift limit applies. A \$125 store gift card exceeds \$100, making choice D the violation.

Choices A (\$75), B (\$90), and C (\$100) are at or below the typical annual limit, so they would not violate the \$100 threshold (assuming they are gifts-not entertainment-and there are no other gifts to that recipient in the year). The \$100 sports event ticket is right at the limit and is generally permissible as a gift under the cap, again assuming no other gifts and treating it as a gift rather than business entertainment.

A common SIE nuance: business entertainment (like taking a client to a game where the RR is present) is often treated differently from a "gift" because it is not simply handing something over-however, a ticket given without the RR attending can be treated as a gift. This question is testing the straightforward dollar cap, not the entertainment distinction. Because the only option that clearly breaches the cap is \$125, that is the correct answer.

The broader compliance theme is managing conflicts and improper influence: the gifts rule helps prevent business decisions from being swayed by excessive personal benefit.

### NEW QUESTION # 98

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