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FINRA SIE Exam Questions With Complete Solutions

Which stakeholder has first claim priority in a Chapter 11 proceeding? correct answer: Secured Debt Holders

What is a firm required to do when receiving cash in excess of $10,000 from one customer in one business day? correct answer: File a Currency Transaction Report

If a registered representative drives UBER part time, what is required? correct answer: They must provide written notification to the firm as mandated by FINRA.

A customer has a cash balance in her account with long positions in several securities. She has made no transactions in 18 months. How often must the firm send her account statement? correct answer: Quarterly

The redemption value of an open-end investment company's shares is based on what? correct answer: NAV computed after the order was received.

When is call protection most valuable to a bond owner? correct answer: when bond prices are rising

UTMA accounts are opened under the tax ID of who? correct answer: the minor

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In modern society, we are busy every day. So the individual time is limited. The fact is that if you are determined to learn, nothing can stop you! You are lucky enough to come across our SIE exam materials. We can help you improve in the shortest time on the SIE exam. Even you do not know anything about the SIE Exam. It absolutely has no problem. You just need to accept about twenty to thirty hours' guidance, it is easy for you to take part in the exam. As you can see, our SIE practice exam will not occupy too much time.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q143-Q148):

NEW QUESTION # 143
The process in which the buying firm must pay for the securities and the selling firm must deliver the securities is known as:

- A. The settlement of the transaction
- B. Clearing the trade
- C. A delivery versus payment (DVP) transaction
- D. A corporate action

Answer: A

Explanation:
Step by Step Explanation:
* Settlement of the Transaction: Refers to the finalization of a trade, where the buyer pays for the securities, and the seller delivers them. For most securities, regular-way settlement occurs T+2 (trade date plus two business days).
* Incorrect Options:
* Clearing the Trade: Refers to matching trade details to prepare for settlement.
* DVP Transactions: A specific type of settlement involving simultaneous payment and delivery, often used for institutional clients.
* Corporate Action: Refers to events like stock splits or dividend declarations.
References:
* FINRA and SEC Guidelines on Settlement: SEC Settlement Process.

NEW QUESTION # 144
A registered representative (RR) at a member firm is the subject of a statutory disqualification. Which of the following statements is true?

- A. The RR is prohibited from soliciting business but is permitted to accept unsolicited orders.
- B. The RR is prohibited from employment by a member firm in any registered capacity but is permitted to be employed in an unregistered capacity.
- C. A statutory disqualification, although reportable to CRD, does not affect employment in the securities industry.
- D. The RR is prohibited from any association or employment with a member firm unless he obtains a waiver.

Answer: D

Explanation:
A statutory disqualification occurs if an RR has been convicted of certain crimes, violated securities laws, or been barred by a regulatory authority. Under FINRA rules, the RR cannot associate with a member firm in any capacity unless they obtain a waiver from FINRA.
* B is correctbecause the disqualified person must obtain a waiver to continue employment.
* AandCare incorrect because the RR is not allowed to associate with the firm in any capacity without a waiver.
* Dis incorrect because statutory disqualification directly affects the RR's employment status.

NEW QUESTION # 145
Under the Investment Company Act of 1940, which of the following products are considered redeemable securities?

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

Answer: B

Explanation:
Redeemable securities are those that can be sold back to the issuer.
* D is correctbecause unit investment trusts (UITs) issue redeemable securities.
* Cis incorrect because closed-end fund shares are traded on secondary markets, not redeemable.
* AandBdo not meet the definition of redeemable securities.

NEW QUESTION # 146
A customer will be out of the country for the next two months on business and asks his firm to hold his mail until he returns. Which of the following statements is true regarding this request?

- A. At the discretion of the RR, the firm is permitted to hold the customer's mail provided it takes reasonable actions to ensure no tampering occurs with this mail.
- B. The firm must receive written instructions from the customer that include the time period for the requested mail hold.
- C. The firm is prohibited from holding the customer's mail under FINRA rules due to the personal information contained.
- D. The firm is permitted to hold the mail as long as the registered representative (RR) complies with the customer's oral instructions.

Answer: B

Explanation:
Step by Step Explanation:
* FINRA Rule 3150: Permits firms to hold customer mail only with written instructions specifying the duration, which cannot exceed three months unless there are exceptional circumstances.
* Incorrect Options:
* A: Holding mail is not prohibited if done in compliance with FINRA rules.
* C & D: Oral instructions or RR discretion are not sufficient; written authorization is mandatory.
References:
* FINRA Rule 3150 (Holding of Customer Mail): FINRA Rule 3150.

NEW QUESTION # 147
Before an affiliate of an issuer is permitted to sell 10,000 shares of restricted securities, which of the following conditions must be met?

- A. The affiliate must have a holding period of six months.
- B. The company must be traded on a listed stock exchange.
- C. The shares to be sold must be less than 10% of the average daily trading volume (ADTV) of the security.
- D. The issuer must notify FINRA of the proposed sale by submitting a Form 144.

Answer: A

Explanation:
Step by Step Explanation:
* Rule 144 Holding Period: Restricted securities held by affiliates require a six-month holding period before sale, provided the issuer is subject to SEC reporting requirements.
* Other Options:
* Notification to FINRA (C) is incorrect; Form 144 is submitted to the SEC, not FINRA.
* The 10% ADTV limitation (D) applies to the volume of shares sold, not the conditions for sale.
References:
* SEC Rule 144 (Selling Restricted Securities): SEC Rule 144.

NEW QUESTION # 148
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