

FINRA SIE Questions: [2025] To Pass Exam On the 1st Attempt

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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FINRA - High Pass-Rate SIE - Securities Industry Essentials Exam (SIE) Dump

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FINRA SIE exam questions along with answers are being provided in two formats.

FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	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	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.
Topic 3	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 4	Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including registration and continuing education for associated persons. Candidates must understand the distinction between registered and non-registered individuals and the requirements for maintaining industry qualifications.
Topic 5	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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q140-Q145):

NEW QUESTION # 140

An investor sells shares of a closed-end fund at the market. Which of the following responses best describes the net proceeds to be received?

- A. Bid price less any commission
- B. NAV less any redemption fee
- C. Public offering price (POP) less any redemption fee
- D. Net asset value (NAV)

Answer: A

Explanation:

Step by Step Explanation:

* Closed-End Funds: Trade on exchanges like stocks, and the investor receives the bid price (market price) minus any applicable commissions.

* Incorrect Options:

* A & B: NAV applies to open-end mutual funds, not closed-end funds.

* D: POP applies to initial sales of mutual fund shares.

References:

* SEC Guidance on Closed-End Funds: SEC Closed-End Funds.

NEW QUESTION # 141

A customer wants to establish an account for the benefit of his grandchildren. He states to his registered representative that he wants to be able to control the distribution of the assets and direct how the account will be invested. Which of the following account types is most appropriate?

- A. UTMA
- B. Certificate of deposit (CD)
- **C. Trust**
- D. 529 savings plan

Answer: C

Explanation:

Step by Step Explanation:

* Trust Accounts: Provide the account owner (trustee) full control over distributions and investment decisions. Suitable for complex estate planning needs.

* Incorrect Options:

* UTMA: Transfers control to the minor upon reaching the age of majority.

* 529 Plan: Used for educational savings, with limited control over distributions.

* CD: A fixed-term deposit, not an account type for managing distributions.

References:

* SEC and FINRA Guidelines on Trusts: FINRA Trust Accounts.

NEW QUESTION # 142

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 is prohibited from holding the customer's mail under FINRA rules due to the personal information contained.
- **C. The firm must receive written instructions from the customer that include the time period for the requested mail hold.**
- D. The firm is permitted to hold the mail as long as the registered representative (RR) complies with the customer's oral instructions.

Answer: C

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 # 143

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

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

Answer: D

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 # 144

An investor owns 100 shares of a company's stock and is very interested in electing a particular individual to the board of directors of the corporation. There are 20 individuals running to fill 10 board seats. If the corporation uses the cumulative voting method, what is the maximum number of votes the investor is permitted to cast for this particular director?

- A. 1,000 votes
- B. 2,000 votes
- C. 50 votes
- D. 100 votes

Answer: A

Explanation:

In cumulative voting, shareholders can allocate all their votes to a single candidate. The total number of votes is calculated by multiplying the number of shares owned by the number of seats available:

* Total votes = 100 shares × 10 seats = 1,000 votes.

* The investor can allocate all votes to one candidate.

* C is correct because cumulative voting allows all votes to be concentrated.

NEW QUESTION # 145

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