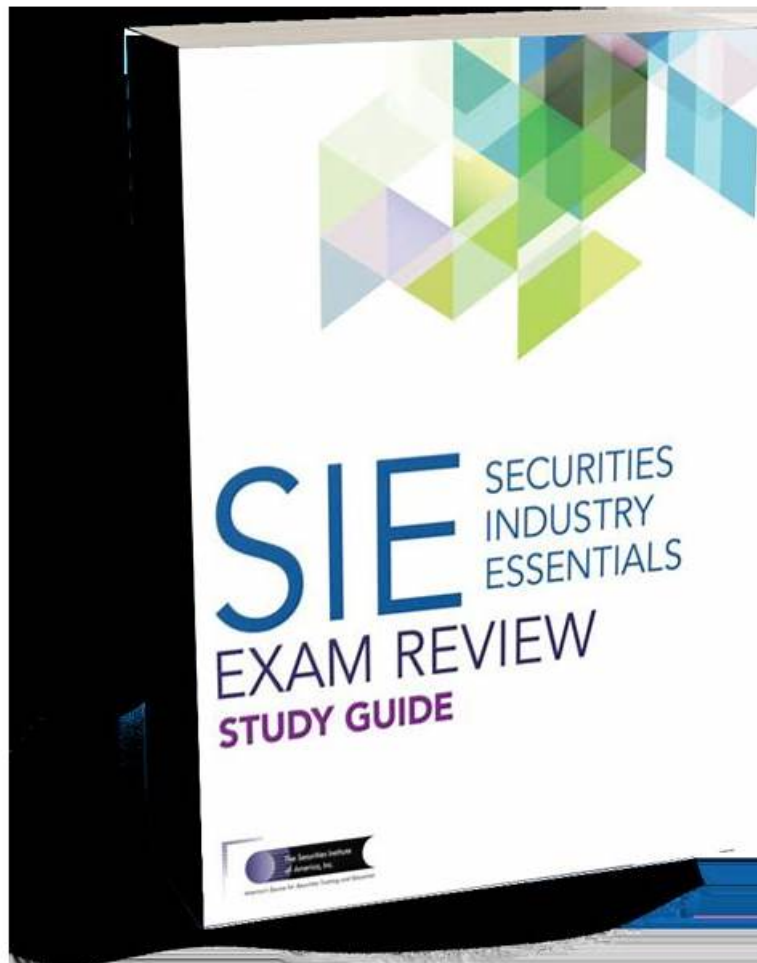


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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q131-Q136):

NEW QUESTION # 131

Which of the following responses describes a common feature of a hedge fund?

- A. Low minimum investment requirement
- B. Transparent as to the underlying investments and strategies
- **C. Low liquidity for investors**
- D. Primarily focused on fixed income investments

Answer: C

Explanation:

Step by Step Explanation:

* Low Liquidity: Hedge funds often impose lock-up periods and restrict redemptions, leading to low liquidity for investors.

* Incorrect Options:

* B: Hedge funds typically have high minimum investment requirements, often \$1 million or more.

* C: Hedge funds employ diverse strategies, not just fixed income.

* D: Hedge funds are generally opaque about their strategies and holdings to protect their competitive advantage.

References:

* SEC Investor Bulletin on Hedge Funds: SEC Hedge Funds.

NEW QUESTION # 132

Under SEC Regulation A, which of the following market participants, if deemed to be a bad actor, will disqualify the offering from reliance on this registration exemption?

- **A. Underwriter**
- B. Custodian
- C. Transfer agent
- D. Clearing corporation

Answer: A

Explanation:

SEC Regulation A provides a registration exemption for smaller public offerings but includes a "bad actor" disqualification. If certain key parties, such as the issuer, underwriter, or affiliates, have been involved in securities violations, the exemption is forfeited.

* B is correct because underwriters are considered essential participants, and their status as bad actors disqualifies the offering.

* A, C, and D are incorrect because custodians, transfer agents, and clearing corporations are not included in the "bad actor" provisions of Regulation A.

NEW QUESTION # 133

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

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 # 134

Offering 403(b) tax-sheltered annuity accounts to which of the following groups is permissible?

- A. Small business owners
- **B. Employees of a nonprofit hospital**
- C. Active duty military personnel
- D. Volunteer workers

Answer: B

Explanation:

Step by Step Explanation:

* 403(b) Accounts: These tax-advantaged retirement plans are specifically for employees of public schools, tax-exempt organizations, and certain other nonprofit employers, such as hospitals.

* Incorrect Options:

* Volunteer Workers: Ineligible unless they are also employees.

* Small Business Owners and Military Personnel: These groups typically qualify for other retirement plans, not 403(b).

References:

* IRS Publication 571 (403(b) Plans): IRS 403(b) Guidance.

NEW QUESTION # 135

Which of the following is not a pass-through entity for tax purposes?

- A. A real estate investment trust (REIT)
- **B. A C corporation**
- C. An S corporation
- D. A limited liability company (LLC)

Answer: B

Explanation:

A pass-through entity does not pay corporate income taxes; instead, income is passed to owners, who report it on their individual tax returns.

* A is correct because C corporations are not pass-through entities; they pay corporate taxes.

* B, C, and D are all pass-through entities for tax purposes.

NEW QUESTION # 136

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