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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q108-Q113):

NEW QUESTION # 108

Which of the following characteristics best describes a benefit of a variable annuity subaccount?

- A. The account is managed by a third-party custodian and is, therefore, subject to lower management fees than those charged by the insurance company.
- B. The account is held at a broker-dealer that is separate from the insurance company, thereby allowing tax-deferred investments in all types of securities products.
- C. The account is held separately from the insurance company's general account and, therefore, is protected from the claims of general creditors of the insurance company.

- D. The account represents the indebtedness of the insurance company that is subordinated to the claims of general creditors and, therefore, offers investors a higher rate of return.

Answer: C

Explanation:

Variable annuity subaccounts are held in separate accounts, distinct from the insurance company's general account. This separation protects subaccount assets from claims by creditors in case the insurance company becomes insolvent.

- * C is correct because the separate account ensures creditor protection.
- * A is incorrect as management fees for variable annuities are often higher.
- * B is incorrect because the subaccounts are not held at broker-dealers.
- * D is incorrect as subaccounts do not represent subordinated debt.

NEW QUESTION # 109

A municipal securities dealer makes a political contribution of \$990 to a local mayoral candidate. At the end of the quarter, to whom, if anyone, must the dealer report the contribution?

- A. No disclosure required as the amount is below the reporting threshold
- B. SEC
- **C. MSRB**
- D. FINRA

Answer: C

Explanation:

Step by Step Explanation:

* MSRB Rule G-37: Requires municipal securities dealers to report contributions to the MSRB, even if the amount is below the \$1,000 threshold that would trigger a two-year prohibition on municipal business.

* Incorrect Options:

* SEC and FINRA: Not involved in reporting political contributions for municipal securities.

References:

* MSRB Rule G-37 (Political Contributions): MSRB Rule G-37.

NEW QUESTION # 110

A customer is unhappy about a \$5,000 loss in a stock that the registered representative (RR) recommended and threatens to call FINRA's Securities Helpline for Seniors about the matter. What is the most appropriate next step for the RR to take?

- **A. The RR should notify their supervisor about the customer's dissatisfaction.**
- B. The RR is permitted to reimburse the customer for the loss to resolve the customer's complaint.
- C. The RR should alert their compliance department to update their Form U4 with the complaint details.
- D. The RR should call FINRA's Securities Helpline for Seniors before the customer does and explain their side of the story.

Answer: A

Explanation:

Step by Step Explanation:

* Escalation Requirement: The RR must promptly notify their supervisor or compliance department about the customer's complaint as required by FINRA rules. Supervisors handle customer complaints according to firm procedures.

* Incorrect Options:

* B: Reimbursing the customer is not permissible without firm approval and may create compliance issues.

* C: Complaints requiring Form U4 updates involve specific allegations such as fraud, not general dissatisfaction.

* D: The RR should not contact FINRA directly; the firm will handle communications.

References:

* FINRA Rule 4530 (Reporting Requirements): FINRA Rule 4530.

NEW QUESTION # 111

Which of the following responses best describes the primary strategy that an investor uses when selling a covered call?

- A. Hedging
- **B. Income generation**
- C. Speculation
- D. Profit guarantee

Answer: B

Explanation:

A covered call involves selling a call option on a stock the investor already owns. The strategy generates income in the form of the premium collected for selling the call, providing additional returns on the stock position.

- * D is correct because the primary goal of a covered call is to generate income.
- * A is incorrect because covered calls do not hedge against large declines in the stock price.
- * B is incorrect because speculation involves taking higher risks, not a covered call's conservative strategy.
- * C is incorrect because no strategy guarantees a profit.

NEW QUESTION # 112

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 customer must sign a new letter of intent to receive the \$100,000 breakpoint on the additional purchase.
- 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 additional investment qualifies for a \$100,000 breakpoint.**

Answer: D

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 # 113

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