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**FINRA SIE FINAL TEST 2025/2026
COMPLETE EXAM QUESTIONS
WITH CORRECT DETAILED
ANSWERS || 100% GUARANTEED
PASS
<LATEST VERSION>**

1. The Federal regulatory body that governs the securities industry is: -
ANSWER ✓ The SEC
2. A fully disclosed BD: - ANSWER ✓ is an inducing firm clearing its transactions through a carrying firm
3. An intermediary between the buy and sell sides of a transaction is known as - ANSWER ✓ a clearing agent
4. For the Depository Trust and Clearing Corporation (DTCC), all of the following are true EXCEPT:
 - a. it is a member of the Federal Reserve System
 - b. It acts as a retail bank servicing savings and checking accounts
 - c. it serves for the purpose of providing custody of securities
 - d. it is a worldwide clearing agent - ANSWER ✓ b. it acts as a retail bank servicing savings and checking accounts
5. Your BD acts as a prime broker for an institutional account. In this arrangement, your BD is likely to be providing which of the following services? - ANSWER ✓ clearing and transaction settlement services for executing brokers

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FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	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 2	Market Structure: This section of the exam measures the skills of Equity Market Specialists and covers the classification of financial markets, including the primary, secondary, third, and fourth markets. Candidates must demonstrate knowledge of electronic trading, over-the-counter (OTC) markets, and physical exchanges. One specific skill tested is differentiating between various market types and their operational mechanisms.
Topic 3	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.
Topic 4	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 5	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.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q80-Q85):

NEW QUESTION # 80

Which of the following activities is permitted during the cooling-off period of an initial public offering (IPO)?

- A. Market the new security to potential investors
- B. Conduct sales to public investors
- C. Distribute final prospectus
- D. Deliver securities to purchasers

Answer: A

Explanation:

The cooling-off period begins after the registration statement is filed with the SEC and lasts for at least 20 days. During this time, the issuer and underwriters can market the securities but cannot finalize sales.

* D is correct because marketing (e.g., roadshows) is permitted during the cooling-off period.

* A is incorrect because the final prospectus is distributed after the offering is effective.

* B and C are incorrect because sales and deliveries are prohibited until the registration becomes effective.

NEW QUESTION # 81

The cash value of a variable life insurance policy is affected by which of the following factors?

- A. Fluctuating market conditions
- B. Changes in the death benefit
- C. Changes in the beneficiary
- D. Contingent deferred sales charges

Answer: A

Explanation:

Step by Step Explanation:

* Variable Life Insurance: The cash value depends on the performance of the underlying investment options.

* Fluctuating Market Conditions: Since the cash value is linked to market performance, fluctuations directly impact its value.

* Beneficiary/Death Benefit Changes: These do not directly impact the cash value unless they involve additional costs or changes to premiums.

References:

* SEC Bulletin on Variable Life Insurance: SEC Variable Insurance.

NEW QUESTION # 82

Company XYZ is a U.S.-based provider of domestic utility services. XYZ's noncallable bonds pay a coupon rate of 5% and are currently yielding 9%. Market interest rates are currently 5.5%. An investor who purchases XYZ bonds is most exposed to which of the following risks?

- A. Currency risk
- B. Credit risk
- C. Political risk
- D. Prepayment risk

Answer: B

Explanation:

XYZ bonds have a yield higher than the coupon rate, indicating that their market price has decreased due to concerns about the issuer's creditworthiness.

* A is correct because the high yield suggests elevated credit risk.

* B is incorrect because domestic utility companies are unlikely to face political risk.

* C is irrelevant as the bonds are denominated in U.S. dollars.

* D is incorrect as prepayment risk is associated with callable bonds, not noncallable bonds.

NEW QUESTION # 83

Which of the following statements best describes an American Depositary Receipt (ADR)?

- A. ADRs trade like U.S. issues and are quoted in U.S. dollars.
- B. ADRs trade like U.S. issues and are quoted in foreign currency.
- C. ADRs represent shares of a foreign security held in foreign commercial banks.
- D. ADRs represent shares of a U.S. security held in foreign commercial banks.

Answer: A

Explanation:

Step by Step Explanation:

* ADRs: Represent foreign securities but are issued in the U.S. and quoted in U.S. dollars, making them easier for American investors to trade.

* Incorrect Options:

* B: ADRs are quoted in U.S. dollars, not foreign currencies.

* C & D: ADRs represent foreign securities held by U.S. banks, not foreign banks.

References:

* SEC Bulletin on ADRs: SEC ADR Overview.

NEW QUESTION # 84

Which of the following statements is true regarding the ownership of investment company shares held as tenants in common?

- A. Any income is distributed evenly among the tenants.
- B. Upon the death of a tenant, all shares in the account are taxable in the estate of the deceased.
- **C. Each tenant has a fractional interest in the investment.**
- D. All tenants must sign redemption requests.

Answer: C

Explanation:

Step by Step Explanation:

* Tenants in Common: In this arrangement, each tenant owns a fractional interest in the account's assets, which can be unequal depending on the agreement.

* Income Distribution: Income is distributed based on ownership percentage, not necessarily equally.

* Redemption Requests: Only the owner of the fractional interest has authority to request redemption for their portion.

* Estate Taxation: Upon the death of a tenant, only their fractional interest is taxable in their estate.

References:

* FINRA Guidelines on Joint Accounts: FINRA Joint Accounts.

NEW QUESTION # 85

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