

# Reliable FINRA SIE Exam Tutorial | Valid SIE Exam Notes

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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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## FINRA SIE Exam Syllabus Topics:

| Topic   | Details   |
|---------|---|
| Topic 1 | <ul style="list-style-type: none"><li>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.</li></ul> |

|         |  |
|---------|--|
| Topic 2 | <ul style="list-style-type: none"> <li>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.</li> </ul> |
| Topic 3 | <ul style="list-style-type: none"> <li>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.</li> </ul>   |

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### FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q155-Q160):

#### NEW QUESTION # 155

What is the sales load of an open-end investment company with a net asset value (NAV) of \$14.35 and a public offering price (POP) of \$15.50?

- A. 8.50%
- B. 9.25%
- C. 8.00%
- D. 7.40%

**Answer: A**

Explanation:

The sales load is calculated as a percentage of the POP, using the formula: Sales load = (POP # NAV) ÷ POP × 100

\* POP = \$15.50, NAV = \$14.35.

\* Sales load = (\$15.50 # \$14.35) ÷ \$15.50 × 100 = 8.50%.

\* C is correct because the calculation results in an 8.50% load.

\* A, B, and D are incorrect due to incorrect calculations.

#### NEW QUESTION # 156

In performing fundamental analysis of an equity, which of the following elements should an investor consider?

- A. Chart patterns
- B. Financial statements
- C. Moving average
- D. Resistance and support levels

**Answer: B**

Explanation:

Fundamental analysis focuses on evaluating a company's financial health and potential for growth by analyzing its financial statements,

such as the income statement, balance sheet, and cash flow statement.

\* C is correct because financial statements provide the data necessary for fundamental analysis.

\* A and B are incorrect because chart patterns and moving averages are tools of technical analysis, not fundamental analysis.

\* D is incorrect because resistance and support levels are also part of technical analysis.

### NEW QUESTION # 157

Which of the following statements is true of the writer of a listed equity call option?

- A. They have the right to sell stock at a fixed strike price.
- B. They have the obligation to buy stock at a fixed strike price.
- **C. They have the obligation to sell stock at a fixed strike price.**
- D. They have the right to buy stock at a fixed strike price.

**Answer: C**

Explanation:

Step by Step Explanation:

\* Call Option Writer: When writing (selling) a call option, the writer has the obligation to sell the underlying stock at the strike price if the buyer exercises the option.

\* Incorrect Options:

\* A & B: Only the option buyer has rights, not the writer.

\* D: Obligations to buy stock apply to put option writers, not call option writers.

References:

\* Options Clearing Corporation (OCC) Options Education: OCC Options Education.

### NEW QUESTION # 158

An investor wants to purchase additional mutual fund shares with income distributed by the fund. Which of the following fund options permits this?

- A. Dollar cost averaging
- B. Asset reallocation
- **C. Dividend reinvestment**
- D. Capital gains reinvestment

**Answer: C**

Explanation:

Step by Step Explanation:

\* Dividend Reinvestment Plans (DRIPs): These allow investors to automatically reinvest income distributed by the mutual fund to purchase additional shares.

\* Dollar Cost Averaging: Refers to systematic investments over time, not directly tied to income distributions.

\* Capital Gains Reinvestment: Involves reinvesting profits from the sale of fund holdings, which is distinct from dividend reinvestment.

References:

\* FINRA Mutual Fund Features: FINRA Mutual Funds.

### NEW QUESTION # 159

Shares in a private investment in public equity (PIPE) offering are priced:

- **A. Below the current market value per share.**
- B. Above the current market value per share.
- C. At the public offering price (POP) as determined by the underwriters.
- D. At the current market value per share.

**Answer: A**

Explanation:

Step by Step Explanation:

\* PIPE Offerings: Typically priced below the current market value to incentivize institutional investors to participate in these

transactions.

\* Discount: The discounted price compensates for the potential illiquidity and risk associated with PIPE offerings.

\* POP/Market Value: These do not apply to private offerings structured as PIPE transactions.

References:

\* SEC PIPE Offering Guidance: SEC PIPE Offerings.

## NEW QUESTION # 160

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