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When selling a fixed amount of a base currency to purchase a counter currency, which of the following factors is primarily used to determine how much of the counter currency the customer will receive?

- A) The spot exchange rate.
- B) The counter currency's inflation rate.
- C) The trade balance between the two countries.
- D) The credit rating of the counter currency's government. **Correct**

Answer - A) The spot exchange rate.

A member of a stock exchange responsible for providing liquidity in a security by being willing to buy and sell at all times is known as:

- A) A Broker.
- B) An Underwriter.
- C) A Market Maker.
- D) A Transfer Agent. **Correct Answer -** C) A Market Maker.

Which of the following actions is required when a firm receives cash in excess of \$10,000 from one customer in one business day?

- A) File a Currency Transaction Report (CTR).

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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 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	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.

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Passing the Securities Industry Essentials Exam (SIE) (SIE) exam requires the ability to manage time effectively. In addition to the FINRA SIE exam study materials, practice is essential to prepare for and pass the FINRA SIE Exam on the first try. It is critical to do self-assessment and learn time management skills.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q135-Q140):

NEW QUESTION # 135

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. Clearing corporation
- C. Custodian
- D. Transfer agent

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 # 136

A customer owns 100 shares of ABC with a current market value of \$5.00 per share. The company undergoes a 1-for-2 reverse

split of the stock. Which of the following statements is true of the customer's holdings and the price of the stock?

- A. The customer will have 1,000 shares at \$0.50 per share.
- B. The customer will have 200 shares at \$2.50 per share.
- **C. The customer will have 50 shares at \$10.00 per share.**
- D. The customer will have 100 shares at \$5.00 per share.

Answer: C

Explanation:

Step by Step Explanation:

* Reverse Split Calculation: A 1-for-2 reverse split reduces the number of shares by half while doubling the price per share.

* Pre-Split Holdings: 100 shares at \$5.00 = \$500.

* Post-Split Holdings: 50 shares at \$10.00 = \$500.

* Incorrect Options: The total value remains unchanged; only the number of shares and price per share adjust.

References:

* FINRA Corporate Actions Guidance: FINRA Reverse Splits.

NEW QUESTION # 137

Which of the following statements is true regarding 529 savings plans?

- **A. Assets are transferable to another 529 savings plan tax-free if the new beneficiary is a family member of the current beneficiary.**
- B. The account beneficiary has control over the assets in a 529 savings plan.
- C. 529 contributions are tax deductible in all states.
- D. There are income limitations for contributing to a 529 savings plan.

Answer: A

Explanation:

529 savings plans are state-sponsored education savings accounts that offer tax-advantaged growth. Key features include:

* Contributions are not federally tax deductible (some states offer state-level deductions).

* No income limitations for contributions.

* The account owner, not the beneficiary, controls the plan.

* Assets can be transferred tax-free to another family member's 529 plan.

* D is correct because tax-free rollovers are allowed for family members of the current beneficiary.

* A is incorrect as contributions are not universally tax deductible.

* B is incorrect as there are no income limitations for contributing.

* C is incorrect because the account owner, not the beneficiary, controls the assets.

NEW QUESTION # 138

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

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

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 # 139

Which of the following types of accounts permits an investor to borrow money from a broker-dealer to help pay for a trade?

- **A. Margin**
- B. Delivery versus payment (DVP) / receive versus payment (RVP)
- C. Cash
- D. An individual retirement account (IRA)

Answer: A

Explanation:

Step by Step Explanation:

* Margin Accounts: Allow investors to borrow funds to purchase securities, with the securities serving as collateral for the loan.

* Cash Accounts: Require full payment for securities purchased.

* IRAs: Do not permit borrowing due to their tax-advantaged status.

* DVP/RVP: Settlement mechanisms, not account types for borrowing.

References:

* FINRA Rule 4210 (Margin Requirements): FINRA Rule 4210.

NEW QUESTION # 140

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