

SIE Exam Overview - SIE Standard Answers

SIE Exam Complete Questions And Answers

What are statutory voting rights? CORRECT ANSWERS Allows the shareholder to vote one time per share for each seat on the board.

If the investor owns 10 shares, she can use 10 shares to vote for position #1 and 10 shares to vote for position #2.

What are cumulative voting rights? CORRECT ANSWERS Allows the shareholder to pool votes together and then allocate as desired.

If the investor owns 10 shares and there are 2 open seats, she can use all 20 shares to vote for a single candidate.

When are common stockholders paid in a liquidation? CORRECT ANSWERS Last

What are pre-emptive rights? CORRECT ANSWERS Give investors the right to acquire additional shares to maintain a proportionate interest in a company's stock (not increase their position) when new shares are issued. This prevents dilution.

Are rights and warrants traded as independent securities in the secondary market? CORRECT ANSWERS Yes

Do warrants or rights remain outstanding longer? CORRECT ANSWERS Warrants

Are warrants issued with intrinsic value? CORRECT ANSWERS No, they are not valuable until the stock's price increases.

What is the market value of a warrant connected to? CORRECT ANSWERS The value of the underlying stock

What is the exercise price of rights? CORRECT ANSWERS Below current market value

What is the exercise price of warrants? CORRECT ANSWERS Above the current market value

Are warrants typically issued in connection with another security in order to make that security more attractive? CORRECT ANSWERS Yes

What are characteristics of penny stocks? CORRECT ANSWERS Unlisted
Low-priced
Risky
Volatile

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q46-Q51):

NEW QUESTION # 46

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. FINRA
- C. SEC
- D. **MSRB**

Answer: D

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 # 47

Which of the following statements is true of an index exchange-traded fund (ETF)?

- A. It is priced once daily, generally at the market close.
- B. It offers an opportunity to outperform the index it tracks.
- C. **Passive ETFs will typically have lower fees than those associated with actively managed ETFs.**
- D. It has a high portfolio turnover ratio.

Answer: C

Explanation:

Passive ETFs track an index and require minimal management, leading to lower expenses compared to actively managed ETFs.

* D is correct because passive ETFs are cost-efficient and have lower fees.

* A is incorrect because index ETFs have low turnover since they replicate an index.

* B is incorrect because ETFs are priced continuously throughout the trading day.

* C is incorrect as ETFs aim to match, not outperform, the index.

NEW QUESTION # 48

Which of the following types of securities is an equity?

- A. Exchange-traded note (ETN)
- B. **Preferred stock**
- C. Commercial paper
- D. Certificate of deposit (CD)

Answer: B

Explanation:

Equity securities represent ownership in a company, and preferred stock is a type of equity security that pays dividends and has priority over common stock in liquidation.

* A is correct because preferred stock is an equity security.

* B is incorrect because commercial paper is a short-term debt security.

* C is incorrect because certificates of deposit (CDs) are fixed-income banking products.

* D is incorrect because exchange-traded notes (ETNs) are unsecured debt securities.

NEW QUESTION # 49

According to FINRA rules, under which of the following circumstances, if any, is a member firm permitted to send gifts to a registered representative of another member firm?

- A. When no single gift exceeds \$100 in value and the maximum value of all gifts per year equals \$250
- B. When no single gift exceeds \$100 and there is no limit on the number of gifts
- **C. When the value of all gifts during a period of one year does not exceed \$100**
- D. Under no circumstances

Answer: C

Explanation:

Step by Step Explanation:

- * FINRA Rule 3220: This rule limits gifts to \$100 per person annually to prevent conflicts of interest.
- * Aggregate Limit: There is no provision for exceeding the \$100 annual limit, regardless of the number of gifts.
- * Purpose: The rule ensures that gifts do not influence decisions or create unethical relationships.

References:

- * FINRA Rule 3220 (Influencing or Rewarding Employees of Others): FINRA Rule 3220.

NEW QUESTION # 50

A market maker quotes the market on an NMS equity security as 39.05 - 39.15 [5x10]. Which of the following orders is the market maker required to fill?

- A. A sell order for 300 shares at \$39.05
- B. A buy order for 1,000 shares at \$39.10
- **C. A buy order for 2,000 shares at \$39.15**
- D. A sell stop order for 500 shares at \$39.00

Answer: C

NEW QUESTION # 51

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