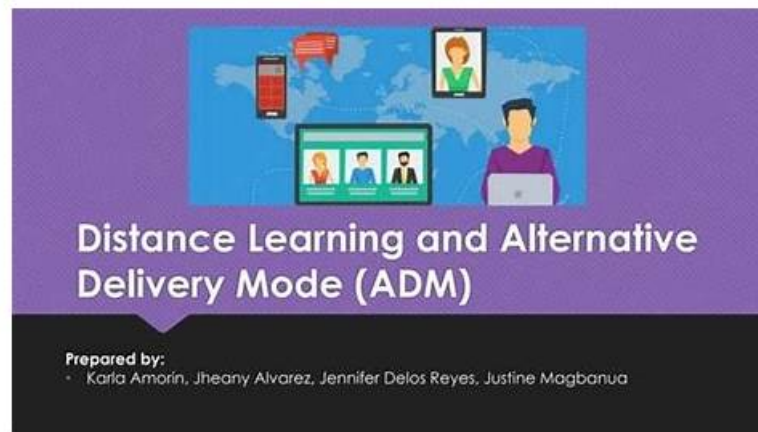


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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q17-Q22):

NEW QUESTION # 17

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

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

Answer: D

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 # 18

SEC Regulation S-P (Consumer Privacy) requires certain information to be included in privacy notices delivered to customers of broker-dealers (BDs). Which of the following information is required to be included in the privacy notice?

- A. The website and telephone number of the Consumer Financial Protection Bureau (CFPB)
- B. The name and telephone number of the BD's chief compliance officer
- C. The BD's policies and practices for protecting the customer's nonpublic personal information
- D. The website and telephone number of SIPC

Answer: C

Explanation:

Regulation S-P mandates that broker-dealers disclose how they collect, protect, and share customers' nonpublic personal information. The privacy notice must include:

- * The categories of information collected.
- * The firm's policies for safeguarding data.
- * Opt-out rights for sharing information with unaffiliated third parties.
- * D is correct because privacy notices must describe policies for protecting customer information.
- * A, B, and C are incorrect because they do not relate to the required elements of Regulation S-P privacy notices.

NEW QUESTION # 19

Company XYZ files a registration statement for its initial public offering (IPO). XYZ is permitted to communicate all of the following information about the offering in writing to investors except that:

- A. The IPO is being underwritten by Bank ABC and Bank DEF.
- B. A recent industry report supports the company's valuation.
- C. The IPO is expected to price in early February.
- D. The road show will be held February 6-10 in New York and Boston.

Answer: B

Explanation:

During the "quiet period" after filing the registration statement, issuers are restricted in what they can communicate to the public to avoid influencing the market.

- * C is correct because promotional statements, such as those supporting the company's valuation, are prohibited during this time.
- * A, B, and D are factual, non-promotional statements and are permitted.

NEW QUESTION # 20

A Treasury bill is issued under which of the following terms?

- A. At par
- B. At a stated rate of interest
- C. At par plus interest
- D. At a discount

Answer: D

Explanation:

Treasury bills (T-bills) are short-term debt securities issued at a discount to par value. The difference between the purchase price and the par value represents the investor's interest income, which is realized when the T-bill matures.

- * C is correct because T-bills are issued at a discount and mature at par.
- * A is incorrect because T-bills are not sold at par value.
- * B and D are incorrect because T-bills do not pay periodic interest; the return is based on the discount.

NEW QUESTION # 21

Which of the following statements concerning nonqualified deferred compensation plans is true?

- A. They are governed by ERISA rules.
- **B. A failure of the business could lead to nonpayment of the deferred compensation.**
- C. The deferred compensation must be held in escrow at a bank.
- D. Such plans must be reviewed with the IRS.

Answer: B

Explanation:

Nonqualified deferred compensation (NQDC) plans allow employees to defer income until a future date.

* D is correct because NQDC funds remain part of the company's general assets, which creditors may claim if the company goes bankrupt.

* A is incorrect as NQDC plans are not subject to ERISA rules.

* B is incorrect because these plans do not require IRS review.

* C is incorrect as NQDC assets are not required to be held in escrow.

NEW QUESTION # 22

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