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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q114-Q119):

### NEW QUESTION # 114

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 100 shares at \$5.00 per share.
- B. The customer will have 1,000 shares at \$0.50 per share.
- C. The customer will have 50 shares at \$10.00 per share.
- D. The customer will have 200 shares at \$2.50 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 # 115

Which of the following terms describes failure to honor a firm quote?

- **A. Backing away**
- B. Market manipulation
- C. Freeriding
- D. Interpositioning

**Answer: A**

Explanation:

Step by Step Explanation:

\* Backing Away: Refers to the failure of a market maker to honor a firm quote when a customer attempts to trade at that price. It is a violation of market rules.

\* Incorrect Options:

\* Freeriding: Involves selling securities before paying for them in a cash account.

\* Interpositioning: Involves unnecessary intermediaries in trades, which can harm customers.

\* Market Manipulation: Covers a range of deceptive practices, such as wash trading or spoofing, not specific to honoring quotes.

References:

\* FINRA Rule 5220 (Firm Quote Rule): FINRA Rule 5220.

### NEW QUESTION # 116

Which of the following responses describes a common feature of a hedge fund?

- **A. Low liquidity for investors**
- B. Primarily focused on fixed income investments
- C. Transparent as to the underlying investments and strategies
- D. Low minimum investment requirement

**Answer: A**

Explanation:

Step by Step Explanation:

\* Low Liquidity: Hedge funds often impose lock-up periods and restrict redemptions, leading to low liquidity for investors.

\* Incorrect Options:

\* B: Hedge funds typically have high minimum investment requirements, often \$1 million or more.

\* C: Hedge funds employ diverse strategies, not just fixed income.

\* D: Hedge funds are generally opaque about their strategies and holdings to protect their competitive advantage.

References:

\* SEC Investor Bulletin on Hedge Funds: SEC Hedge Funds.

### NEW QUESTION # 117

A customer buys 100 ABC at \$50 and at the same time sells an ABC April 50 call at \$8. At expiration, ABC must be at what market price for the customer to break even?

- A. \$44
- B. \$58
- **C. \$42**
- D. \$50

**Answer: C**

Explanation:

Step by Step Explanation:

\* Breakeven Calculation: For covered call writing, breakeven is the stock purchase price minus the premium received.

\* Purchase Price = \$50

\* Premium Received = \$8

\* Breakeven = \$50 - \$8 = \$42.

\* Other Options:

\* B, C, and D: Incorrect because they do not reflect the proper calculation of stock price minus the premium

References:

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

### NEW QUESTION # 118

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

**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 # 119

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