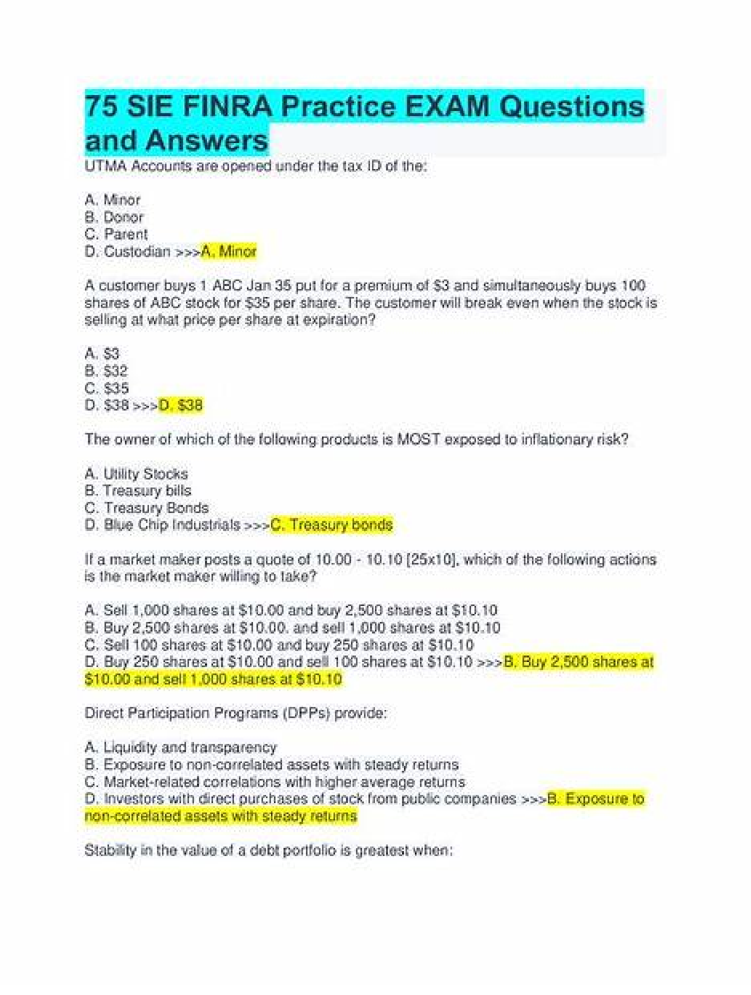
Simulation FINRA SIE Questions & SIE Test Engine



75 SIE FINRA Practice EXAM Questions and Answers

UTMA Accounts are opened under the tax ID of the:

A. Minor
B. Donor
C. Parent
D. Custodian >>>A. Minor

A customer buys 1 ABC Jan 35 put for a premium of $3 and simultaneously buys 100 shares of ABC stock for $35 per share. The customer will break even when the stock is selling at what price per share at expiration?

A. $3
B. $32
C. $35
D. $38 >>>D. $38

The owner of which of the following products is MOST exposed to inflationary risk?

A. Utility Stocks
B. Treasury bills
C. Treasury Bonds
D. Blue Chip Industrials >>>C. Treasury bonds

If a market maker posts a quote of 10.00 - 10.10 [25x10], which of the following actions is the market maker willing to take?

A. Sell 1,000 shares at $10.00 and buy 2,500 shares at $10.10
B. Buy 2,500 shares at $10.00. and sell 1,000 shares at $10.10
C. Sell 100 shares at $10.00 and buy 250 shares at $10.10
D. Buy 250 shares at $10.00 and sell 100 shares at $10.10 >>>B. Buy 2,500 shares at $10.00 and sell 1,000 shares at $10.10

Direct Participation Programs (DPPs) provide:

A. Liquidity and transparency
B. Exposure to non-correlated assets with steady returns
C. Market-related correlations with higher average returns
D. Investors with direct purchases of stock from public companies >>>B. Exposure to non-correlated assets with steady returns

Stability in the value of a debt portfolio is greatest when:

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It is browser-based; therefore no need to install it, and you can start practicing for the FINRA SIE exam by creating the Securities Industry Essentials Exam (SIE) (SIE) practice test. You don't need to install any separate software or plugin to use it on your system to practice for your actual Securities Industry Essentials Exam (SIE) (SIE) exam. Prep4pass SIE web-based practice software is supported by all well-known browsers like Chrome, Firefox, Opera, Internet Explorer, etc.

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FINRA Simulation SIE Questions: Securities Industry Essentials Exam (SIE) - Prep4pass Good-reputation Website

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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	• Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including registration and continuing education for associated persons. Candidates must understand the distinction between registered and non-registered individuals and the requirements for maintaining industry qualifications.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q112-Q117):

NEW QUESTION # 112
The Options Clearing Corporation (OCC) is a registered clearing agency for which of the following products?

- A. Listed stocks
- B. Long-term Equity Anticipation Securities (LEAPS)
- C. Over-the-counter bonds
- D. Exchange-traded funds (ETFs)

Answer: B

Explanation:
The Options Clearing Corporation (OCC) is responsible for issuing and guaranteeing the performance of listed options contracts, including Long-term Equity Anticipation Securities (LEAPS), which are long-term options.
* D is correctbecause LEAPS are a type of listed options contract cleared by the OCC.
* Ais incorrect because listed stocks are not options contracts.
* Bis incorrect because over-the-counter bonds are not cleared by the OCC.
* Cis incorrect because ETFs are not options, though ETF options may be cleared by the OCC.

NEW QUESTION # 113
A rating agency downgrades a corporation's credit rating. Which of the following effects is this action most likely to have on the yield and price of the corporation's outstanding bonds?

- A. Yield will rise; price will rise.
- B. Yield will fall; price will rise.
- C. Yield will rise; price will fall.
- D. Yield will fall; price will fall.

Answer: C

Explanation:
Step by Step Explanation:
* Credit Downgrade: Increases perceived risk, causing bond prices to drop and yields to rise.
* Yield-Price Relationship: Yields move inversely to bond prices. Lower prices lead to higher yields as investors demand more return for increased risk.

References:
* SEC Guidance on Bond Ratings: SEC Bond Ratings.

NEW QUESTION # 114
Which of the following characteristics is true of open-end mutual fund shares?

- A. Their price is calculated intra-day based on the changing market value of the fund.
- B. They are purchased by investors in the secondary market.
- C. They are purchased by investors directly from the fund or through a broker-dealer offering the fund.
- D. They terminate and dissolve on an established date.

Answer: C

Explanation:
Open-end mutual funds do not trade on secondary markets. Instead, shares are continuously issued or redeemed by the fund at the net asset value (NAV), calculated at the market close.
* D is correctbecause investors purchase and redeem shares directly through the fund or authorized brokers.
* Ais incorrect because mutual funds do not have a predetermined dissolution date.
* Bis incorrect because mutual fund shares are priced at the NAV calculated once daily after the market closes.
* Cis incorrect because secondary market trading applies to closed-end funds and ETFs, not open-end mutual funds.

NEW QUESTION # 115
An investor owns 100 shares of a company's stock and is very interested in electing a particular individual to the board of directors of the corporation. There are 20 individuals running to fill 10 board seats. If the corporation uses the cumulative voting method, what is the maximum number of votes the investor is permitted to cast for this particular director?

- A. 100 votes
- B. 1,000 votes
- C. 2,000 votes
- D. 50 votes

Answer: B

Explanation:
In cumulative voting, shareholders can allocate all their votes to a single candidate. The total number of votes is calculated by multiplying the number of shares owned by the number of seats available:
* Total votes = 100 shares × 10 seats =1,000 votes.
* The investor can allocate all votes to one candidate.
* C is correctbecause cumulative voting allows all votes to be concentrated.

NEW QUESTION # 116
Which of the following statements is true of the writer of a listed equity call option?

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

Answer: D

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 # 117

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