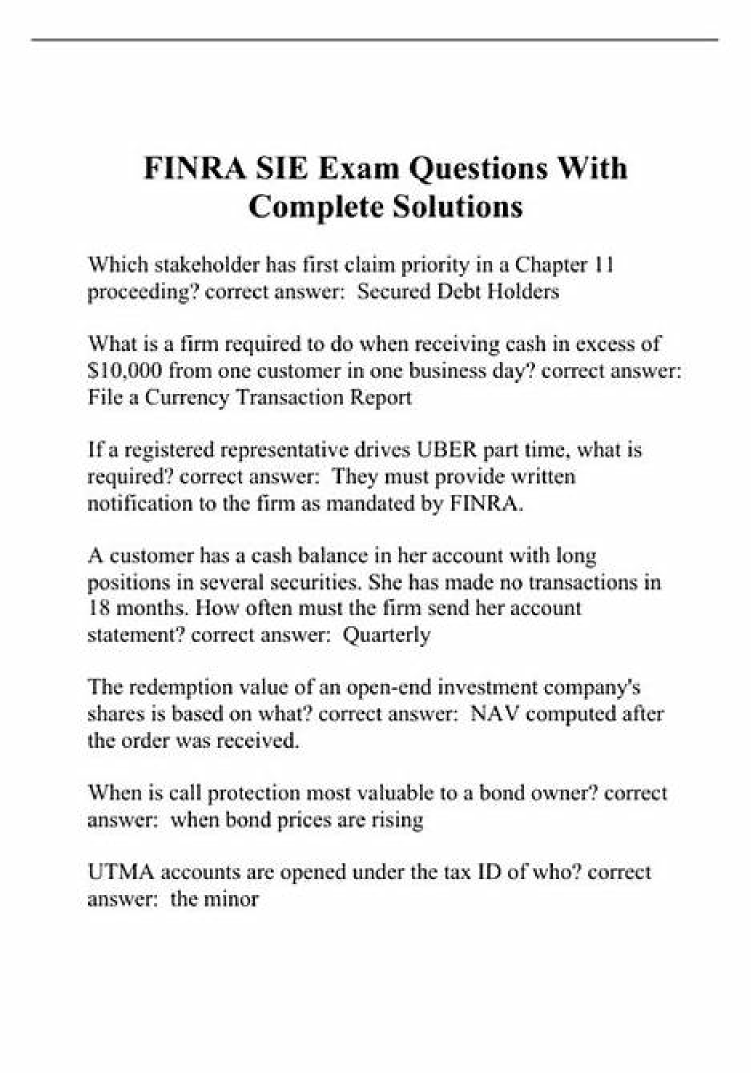
Updated SIE Exam Braindumps - Win Your FINRA Certificate with Top Score



FINRA SIE Exam Questions With Complete Solutions

Which stakeholder has first claim priority in a Chapter 11 proceeding? correct answer: Secured Debt Holders

What is a firm required to do when receiving cash in excess of $10,000 from one customer in one business day? correct answer: File a Currency Transaction Report

If a registered representative drives UBER part time, what is required? correct answer: They must provide written notification to the firm as mandated by FINRA.

A customer has a cash balance in her account with long positions in several securities. She has made no transactions in 18 months. How often must the firm send her account statement? correct answer: Quarterly

The redemption value of an open-end investment company's shares is based on what? correct answer: NAV computed after the order was received.

When is call protection most valuable to a bond owner? correct answer: when bond prices are rising

UTMA accounts are opened under the tax ID of who? correct answer: the minor

P.S. Free 2025 FINRA SIE dumps are available on Google Drive shared by ExamDiscuss: https://drive.google.com/open?id=1Tw-HGsLQEvvsVixVZxSRXTtr7sRzax_X

We are amenable to offer help by introducing our SIE real exam materials and they can help you pass the Securities Industry Essentials Exam (SIE) practice exam efficiently. All knowledge is based on the real exam by the help of experts. By compiling the most important points of questions into our SIE guide prep our experts also amplify some difficult and important points. There is no doubt they are clear-cut and easy to understand to fulfill your any confusion about the exam. Our Securities Industry Essentials Exam (SIE) exam question is applicable to all kinds of exam candidates who eager to pass the exam. Last but not the least, they help our company develop brand image as well as help a great deal of exam candidates pass the exam with passing rate over 98 percent of our SIE Real Exam materials.

FINRA SIE Exam Syllabus Topics:

Topic	Details
Topic 1	• Understanding Products and Their Risks: This section of the exam measures the skills of Investment Analysts and examines different financial products and associated risks. Candidates must understand equity securities, including common stock, as well as debt instruments such as Treasury securities and mortgage-backed securities.

Topic 2	• 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-til-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading.
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.

2025 100% Free SIE –The Best 100% Free Exam Braindumps | Securities Industry Essentials Exam (SIE) PDF Guide

The price for SIE exam torrent are reasonable, and no matter you are a student at school or an employee in the enterprise, you can afford the expense. In addition, SIE exam dumps are reviewed by skilled professionals, therefore the quality can be guaranteed. We offer you free demo to have a try before buying SIE Exam Torrent from us, so that you can know what the complete version is like. Free update for one year is available, and the update version will be sent to your email address automatically.

FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q84-Q89):

NEW QUESTION # 84
Which of the following is the primary risk of using asset allocation models without periodic rebalancing?

- A. Overweighting
- B. Inflation
- C. Marketability
- D. Interest rate risk

Answer: A

Explanation:
Step by Step Explanation:
* Rebalancing: Ensures that a portfolio remains aligned with its target allocation. Without rebalancing, outperforming assets can become overweighted, increasing exposure to specific risks.
* Incorrect Options:
* Inflation: Impacts purchasing power but isn't tied to rebalancing.
* Marketability: Refers to liquidity and isn't linked to allocation models.
* Interest Rate Risk: Relates to fixed-income investments and isn't directly addressed by allocation models.
References:
* SEC Investor Bulletin on Asset Allocation: SEC Asset Allocation.

NEW QUESTION # 85
Which of the following must a registered representative disclose as an outside business activity (OBA) on his Form U4?

- A. Trustee on a grandparent's estate account
- B. Board member serving without compensation for a not-for-profit entity
- C. Board member for a publicly traded company
- D. Volunteer work for a local charity

Answer: C

Explanation:

FINRA Rule 3270 requires registered representatives to disclose all outside business activities that involve compensation or could reasonably be perceived as a conflict of interest.
* C is correctbecause serving as a board member for a publicly traded company is a business activity requiring disclosure, even if compensation is indirect.
* Ais incorrect because volunteer work for charities does not require disclosure.
* Bis incorrect because acting as a trustee for a personal or family estate is generally not considered an OBA.
* Dis incorrect because unpaid board membership for a not-for-profit entity does not typically require disclosure.

NEW QUESTION # 86
An investor wants to purchase additional mutual fund shares with income distributed by the fund. Which of the following fund options permits this?

- A. Asset reallocation
- B. Dividend reinvestment
- C. Capital gains reinvestment
- D. Dollar cost averaging

Answer: B

Explanation:
Step by Step Explanation:
* Dividend Reinvestment Plans (DRIPs): These allow investors to automatically reinvest income distributed by the mutual fund to purchase additional shares.
* Dollar Cost Averaging: Refers to systematic investments over time, not directly tied to income distributions.
* Capital Gains Reinvestment: Involves reinvesting profits from the sale of fund holdings, which is distinct from dividend reinvestment.
References:
* FINRA Mutual Fund Features: FINRA Mutual Funds.

NEW QUESTION # 87
A registered representative (RR) at a member firm is the subject of a statutory disqualification. Which of the following statements is true?

- A. The RR is prohibited from employment by a member firm in any registered capacity but is permitted to be employed in an unregistered capacity.
- B. The RR is prohibited from any association or employment with a member firm unless he obtains a waiver.
- C. A statutory disqualification, although reportable to CRD, does not affect employment in the securities industry.
- D. The RR is prohibited from soliciting business but is permitted to accept unsolicited orders.

Answer: B

Explanation:
A statutory disqualification occurs if an RR has been convicted of certain crimes, violated securities laws, or been barred by a regulatory authority. Under FINRA rules, the RR cannot associate with a member firm in any capacity unless they obtain a waiver from FINRA.
* B is correctbecause the disqualified person must obtain a waiver to continue employment.
* AandCare incorrect because the RR is not allowed to associate with the firm in any capacity without a waiver.
* Dis incorrect because statutory disqualification directly affects the RR's employment status.

NEW QUESTION # 88
The provision that allows a bond issuer to purchase bonds from customers prior to the maturity date on the bond is known as a:

- A. Defeasement
- B. Call
- C. Put
- D. Conversion

Answer: B

Explanation:
Step by Step Explanation:
* Call Provision: This allows the issuer to redeem bonds before their maturity date, usually at a premium to the par value, which benefits the issuer in a declining interest rate environment.
* Put Provision: Allows bondholders, not issuers, to sell the bond back to the issuer.
* Conversion: Relates to convertible bonds that can be converted into equity.
* Defeasement: Refers to the removal of a bond issuer's obligation by setting aside cash or securities to cover the debt.
References:
* SEC Guide on Callable Bonds: SEC Callable Bonds.

NEW QUESTION # 89

......

In order to serve you better, we have a complete system to you if you buy SIE study materials from us. We offer you free demo for you to have a try before buying. If you are satisfied with the exam, you can just add them to cart, and pay for it. You will obtain the downloading link and password for SIE Study Materials within ten minutes, if you don’t, just contact us, we will solve the problem for you. After you buy, if you have some questions about the SIE exam braindumps after buying you can contact our service stuff, they have the professional knowledge and will give you reply.

SIE PDF Guide: https://www.examdiscuss.com/FINRA/exam/SIE/