

Valid SIE Test Questions - SIE Exam Format

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 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	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	• Market Structure: This section of the exam measures the skills of Equity Market Specialists and covers the classification of financial markets, including the primary, secondary, third, and fourth markets. Candidates must demonstrate knowledge of electronic trading, over-the-counter (OTC) markets, and physical exchanges. One specific skill tested is differentiating between various market types and their operational mechanisms.
Topic 4	• 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 5	• 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.

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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q32-Q37):

NEW QUESTION # 32

In a rising interest rate environment, which of the following statements is true regarding the price of fixed-rate corporate bonds?

- A. Their price will remain constant.
- B. Their price will revert to par value.
- C. Their price will appreciate in value.
- **D. Their price will depreciate in value.**

Answer: D

Explanation:

When interest rates rise, the price of fixed-rate corporate bonds falls because the bond's coupon payments become less attractive compared to new bonds issued at higher rates.

- * D is correct as bond prices move inversely to interest rates.
- * A is incorrect because bond prices fluctuate with interest rate changes.
- * B is incorrect because bond prices revert to par only at maturity.
- * C is incorrect because prices do not appreciate when rates rise.

NEW QUESTION # 33

Before an affiliate of an issuer is permitted to sell 10,000 shares of restricted securities, which of the following conditions must be met?

- A. The issuer must notify FINRA of the proposed sale by submitting a Form 144.
- B. The company must be traded on a listed stock exchange.
- **C. The affiliate must have a holding period of six months.**

- D. The shares to be sold must be less than 10% of the average daily trading volume (ADTV) of the security.

Answer: C

Explanation:

Step by Step Explanation:

* Rule 144 Holding Period: Restricted securities held by affiliates require a six-month holding period before sale, provided the issuer is subject to SEC reporting requirements.

* Other Options:

* Notification to FINRA (C) is incorrect; Form 144 is submitted to the SEC, not FINRA.

* The 10% ADTV limitation (D) applies to the volume of shares sold, not the conditions for sale.

References:

* SEC Rule 144 (Selling Restricted Securities): SEC Rule 144.

NEW QUESTION # 34

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

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

Answer: B

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 correct because serving as a board member for a publicly traded company is a business activity requiring disclosure, even if compensation is indirect.

* A is incorrect because volunteer work for charities does not require disclosure.

* B is incorrect because acting as a trustee for a personal or family estate is generally not considered an OBA.

* D is incorrect because unpaid board membership for a not-for-profit entity does not typically require disclosure.

NEW QUESTION # 35

Which of the following strategies is an investor most likely to employ using options contracts?

- **A. Buying put options to set a definitive floor for potential losses**
- B. Buying call options when the market shows downward momentum
- C. Buying put options when the market shows upward momentum
- D. Selling call options to set a definitive ceiling for potential losses

Answer: A

Explanation:

Buying a put option gives the investor the right to sell a stock at a specific strike price, effectively setting a floor for potential losses if the stock price declines. This is a common risk-management strategy.

* A is correct because buying puts limits downside risk while retaining the potential for upside gains.

* B is incorrect as buying puts is a bearish strategy, not one used during upward momentum.

* C is incorrect because selling call options does not hedge losses; it is a speculative or income-generating strategy.

* D is incorrect because buying calls is a bullish strategy, used during upward momentum, not downward.

NEW QUESTION # 36

Which of the following types of accounts permits an investor to borrow money from a broker-dealer to help pay for a trade?

- A. Cash
- B. Delivery versus payment (DVP) / receive versus payment (RVP)
- C. An individual retirement account (IRA)
- **D. Margin**

Answer: D

Explanation:

Step by Step Explanation:

- * Margin Accounts: Allow investors to borrow funds to purchase securities, with the securities serving as collateral for the loan.
- * Cash Accounts: Require full payment for securities purchased.
- * IRAs: Do not permit borrowing due to their tax-advantaged status.
- * DVP/RVP: Settlement mechanisms, not account types for borrowing.

References:

- * FINRA Rule 4210 (Margin Requirements): FINRA Rule 4210.

NEW QUESTION # 37

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