

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:

Finra S2sample Questions

Daniel F McAuley



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