CHAPTER 4 INDUSTRY REGULATORS AND SALES SUPERVISION QUESTIONS



- 78. An investment adviser has a client with a \$3,000,000 net worth. The adviser charges fees to the client based on capital gains and appreciation. Which of the following is true?
 - A. The fees charged are legal
 - The fees charged are illegal under all circumstances
 - C. The fees are illegal unless receiving permission from the state or SEC
 - The fees are legal if obtaining permission from the state
 Administrator of the client or the SEC
- 79. An adviser must register with the SEC if only advising clients that are:
 - A. Insurance companies
 - B. Investment companies
 - C. Both (A) and (B)
 - D. Neither (A) nor (B)
- 80. According to MSRB rule G-37, which of the following contributions are allowed to be made by an MFP located in New Jersey?
 - A. \$200 contribution to a candidate running for mayor in New York City
 - A \$300 contribution to a candidate running for governor of New Jersey
 - C. Both (A) and (B)
 - D. Neither (A) nor (B)
- 81. If an MFP violates MSRB rule G-37 and transfers to another firm after one and a half years, how long is the other firm prohibited from entering into a negotiated offering with the government where the candidate is located?
 - Three months after the change of employment
 - B. Six months after the change of employment
 - C. One year after the change of employment
 - Two years after the change of employment

- 82. According to MSRB Rule G-37, all of the following may make political contributions EXCEPT:
 - I. An MEP
 - II. A PAC
 - III. A municipal securities firm
 - A. Lonty
 - B. III and IIII
 - C. I and III
 - D. I, II, and III
- Which of the following are true regarding the restrictions of MSRB Rules G-37 and G-38?
 - They apply only for negotiated offerings
 - They apply for negotiated and competitive offerings
 - III. Reports must be filed monthly with the MSRB
 - IV. Reports must be filed quarterly with the MSRB
 - A. I and III
 - B. Land IV.
 - C. II and III
 - D. II and IV
- 84. Which of the following best describes the responsibility of an executive representative of a member firm of the FINRA?
 - Supervising the activities of registered reps
 - Voting on behalf of the firm in FINRA related issues
 - Setting up the firm element for continuing education
 - D. All of the above
- Online access or copies of the FINRA rule book and broker-dealer's supervisory procedures must be kept at:
 - Every office of supervisory jurisdiction
 - B. The main branch office of the firm
 - The office where market making activities occur
 - D. Each branch office of the firm

Finra S24 Sample Questions

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The Solomon Exam Prep Guide Solomon Exam Prep, 2017-10-24 The General Securities Principal Exam also known as the Series 24 exam is for securities professionals who want to become a General Securities Principal that is someone who is licensed to manage a FINRA broker dealer Serious study is required and memorizing rules and regulations is critical to success on the FINRA Series 24 exam The emphasis of the Series 24 is on supervision keeping the broker dealer and all associated persons on the straight and narrow The FINRA Series 24 exam outline is 50 single spaced pages of rules and regulations What's a busy securities industry professional to do Can the human brain memorize it all Enter The Solomon Exam Prep Series 24 Study Guide This brand new edition of The Solomon Exam Prep Series 24 Guide reflects all the recent rule changes such as updates to Regulation D and Rule 147 It also includes settlement changes to T 2 Written by Karen Solomon PhD Al Schaller MA and Craig MacAllister PhD the guide works in three mutually reinforcing ways it focuses on the most important aspects of the exam it provides you with plenty of practice questions with detailed rationales and it explains the reasoning behind the rules which will help you remember them This invaluable guide will give you the knowledge to tackle the FINRA General Securities Principal Examination with confidence The Solomon Exam Prep Guide Solomon Exam Prep, 2014-10-14 The General Securities Principal Exam also known as the Series 24 exam is for securities professionals who want to become a General Securities Principal that is someone who is licensed to manage a FINRA broker dealer Serious study is required and memorizing rules and regulations is critical to success on the FINRA Series 24 exam The emphasis of the Series 24 is on supervision keeping the broker dealer and all associated persons on the straight and narrow The FINRA Series 24 exam outline is 50 single spaced pages of rules and regulations What's a busy securities industry professional to do Can the human brain memorize it all Enter The Solomon Exam Prep Series 24 Study Guide This brand new edition of The Solomon Exam Prep Series 24 Guide reflects the revised FINRA exam outline format for October 2014 and includes the latest information on asset backed securities including new sections on Regulations AB and ABII and static pool analysis Written by Karen Solomon Ph D and Al Schaller M A the guide works in three mutually reinforcing ways it focuses on the most important aspects of the exam it provides you with plenty of practice questions with detailed rationales and it continually reminds you why you need to take the test in the first place to protect investors This invaluable guide will give you the knowledge to tackle the FINRA General Securities Principal Examination with confidence Wilev FINRA Series **24 Exam Review 2017** Wiley, 2017-02-24 The go to guide to acing the Series 24 Exam Passing the General Securities Principal Qualification Examination Series 24 gualifies an individual to act as a principal of a general securities broker dealer and to supervise the firm and its agents The exam covers the supervision of such areas as investment banking underwriting and research practices trading and market making brokerage office operations and sales practices and agents as well as compliance with financial responsibility rules Candidates must have passed the Series 62 or Series 7 prior to taking the

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for the exam 3 hours for each half A grade of 72 is considered passing This book includes multiple practice exams to help test takers improve their scores The General Securities Representative Examination Series 7 is an entry level examination that qualifies the individual for registration with all self regulatory organizations to trade promote and sell Public offerings and or private placements of corporate securities stocks and bonds rights warrants mutual funds money market funds unit investment trusts REITS asset backed securities mortgage backed securities options options on mortgage backed securities municipal securities government securities repos and certificates of accrual on government securities direct participation programs securities traders venture capital ETFs hedge funds

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