

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
 - B. The fees charged are illegal under all circumstances
 - C. The fees are illegal unless receiving permission from the state or SEC
 - D. 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. A \$200 contribution to a candidate running for mayor in New York City
 - B. 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?
- A. Three months after the change of employment
 - B. Six months after the change of employment
 - C. One year after the change of employment
 - D. 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 MFP
 - II. A PAC
 - III. A municipal securities firm
- A. I only
 - B. II and III
 - C. I and II
 - D. I, II, and III
83. Which of the following are true regarding the restrictions of MSRB Rules G-37 and G-38?
- I. They apply only for negotiated offerings
 - II. 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. I and 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?
- A. Supervising the activities of registered reps
 - B. Voting on behalf of the firm in FINRA related issues
 - C. Setting up the firm element for continuing education
 - D. All of the above
85. Online access or copies of the FINRA rule book and broker-dealer's supervisory procedures must be kept at:
- A. Every office of supervisory jurisdiction
 - B. The main branch office of the firm
 - C. The office where market making activities occur
 - D. Each branch office of the firm

Finra S24 Sample Questions

Shawn Blake



Finra S24 Sample Questions:

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 Pass The 24 Robert Walker, 2015-01-24 UPDATED FOR 2017 FINRA s Series 24 exam is one of the most detailed tests people in your industry ever take That s why a Series 24 textbook has to do more than copy and paste from regulatory websites or deliver endless bullet points for you to memorize Anyone can list what you need to know This is the only book that also shows you why you need to know it and how it all fits together Only when you understand the key differences between underwriting and trading securities for example are you ready for the barrage of vocabulary terms your exam will try to use against you on these topics

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- Chapter 5: Conclusion

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Table of Contents Finra S24 Sample Questions

1. Understanding the eBook Finra S24 Sample Questions
 - The Rise of Digital Reading Finra S24 Sample Questions
 - Advantages of eBooks Over Traditional Books
2. Identifying Finra S24 Sample Questions
 - Exploring Different Genres
 - Considering Fiction vs. Non-Fiction
 - Determining Your Reading Goals
3. Choosing the Right eBook Platform
 - Popular eBook Platforms
 - Features to Look for in an Finra S24 Sample Questions
 - User-Friendly Interface
4. Exploring eBook Recommendations from Finra S24 Sample Questions
 - Personalized Recommendations
 - Finra S24 Sample Questions User Reviews and Ratings
 - Finra S24 Sample Questions and Bestseller Lists
5. Accessing Finra S24 Sample Questions Free and Paid eBooks
 - Finra S24 Sample Questions Public Domain eBooks
 - Finra S24 Sample Questions eBook Subscription Services
 - Finra S24 Sample Questions Budget-Friendly Options
6. Navigating Finra S24 Sample Questions eBook Formats
 - ePub, PDF, MOBI, and More
 - Finra S24 Sample Questions Compatibility with Devices
 - Finra S24 Sample Questions Enhanced eBook Features
7. Enhancing Your Reading Experience
 - Adjustable Fonts and Text Sizes of Finra S24 Sample Questions
 - Highlighting and Note-Taking Finra S24 Sample Questions
 - Interactive Elements Finra S24 Sample Questions
8. Staying Engaged with Finra S24 Sample Questions

- Joining Online Reading Communities
 - Participating in Virtual Book Clubs
 - Following Authors and Publishers Finra S24 Sample Questions
9. Balancing eBooks and Physical Books Finra S24 Sample Questions
- Benefits of a Digital Library
 - Creating a Diverse Reading Collection Finra S24 Sample Questions
10. Overcoming Reading Challenges
- Dealing with Digital Eye Strain
 - Minimizing Distractions
 - Managing Screen Time
11. Cultivating a Reading Routine Finra S24 Sample Questions
- Setting Reading Goals Finra S24 Sample Questions
 - Carving Out Dedicated Reading Time
12. Sourcing Reliable Information of Finra S24 Sample Questions
- Fact-Checking eBook Content of Finra S24 Sample Questions
 - Distinguishing Credible Sources
13. Promoting Lifelong Learning
- Utilizing eBooks for Skill Development
 - Exploring Educational eBooks
14. Embracing eBook Trends
- Integration of Multimedia Elements
 - Interactive and Gamified eBooks

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