
SIE PRACTICE EXAM QUESTIONS AND ANSWERS

Which corporate voting procedures entitles a shareholder to one vote per share, and votes must be divided evenly among the candidates being voted on? - Answers - Statutory voting

What market refers to the trading of exchange-listed securities in the over-the-counter market? These trades allow institutional investors to trade blocks of securities directly, rather than through an exchange, providing liquidity and anonymity to buyers. - Answers - Third market

All are characteristics of a REIT EXCEPT - Answers - it is a publicly traded open-end investment company

(it is closed-end)

What can an investor sign which allows him or her to receive breakpoint discounts based upon a commitment to buy a specified number of mutual fund shares over a period of time, usually 13 months - Answers - Letter of intent

What is a type of exchange rate system in which a country ties its currency to a basket of other currencies or to another measure of value, such as gold? - Answers - Fixed exchange rate system

What will result if money distributed from a 529 plan is not used to pay for qualifying education expenses? - Answers - The gain is taxed as ordinary income, and a 10% penalty is applied

An investor who believes that an economic recession is imminent should purchase which type of stock? - Answers - Defensive stock because they tend to outperform during economic downturns

What is true regarding dividends paid by growth stocks and value stocks? - Answers - Because they are growing and expanding, growth stocks typically do not pay large dividends

What is a type of broker that acts as a liaison between an investor and a clearing corporation by helping to ensure that trades are settled appropriately and transactions are successfully completed? - Answers - Clearing broker

What form must broker-dealers, investment advisers, or issuers of securities fill out in order to terminate the registration of an individual in the appropriate jurisdiction? It is also known as the Uniform Termination Notice for Securities Industry Registration. - Answers - U5

Keeping Questions And Answers

AN Whitehead



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