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FINRA Series-82

Private Securities Offerings Representative Exam



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Question: 1

In a private placement, a firm agrees to market securities on a best-efforts basis without purchasing them. What role is the firm performing?

- A. Transfer agent
- B. Issuer
- C. Placement agent
- D. Clearing firm

Answer: C

Question: 2

A customer states an objective of capital preservation. Which private placement characteristic would raise the greatest concern?

- A. Speculative business model
- B. Accredited investor requirement
- C. Use of Regulation D
- D. Long holding period

Answer: A

Question: 3

Why must documentation provided to customers be consistent?

- A. To reduce printing costs
- B. To satisfy issuer marketing
- C. To accelerate settlement
- D. To avoid confusion and misleading information

Answer: D

Question: 4

A firm is marketing a Regulation D private placement to potential investors. Which marketing practice would generally be prohibited?

- A. Limiting offers to accredited investors
- B. Using general solicitation without an applicable exemption
- C. Providing a private placement memorandum
- D. Requiring execution of a confidentiality agreement

Answer: B

Question: 5

Before accepting any private placement subscription, a broker-dealer must establish a customer account. Which action is required as part of this process?

- A. Obtaining the issuer's approval of the investor
- B. Delivering the private placement memorandum after closing
- C. Filing a Form D on behalf of the issuer
- D. Collecting and maintaining customer account information

Answer: D

Question: 6

A customer files an arbitration claim against a broker-dealer. Which forum typically administers this process?

- A. U.S. District Court
- B. State insurance department
- C. FINRA Dispute Resolution
- D. SEC Enforcement Division

Answer: C

Question: 7

When pricing securities in a private placement, which factor is most relevant? This determination affects investor interest and perceived value.

- A. Clearing firm requirements
- B. Issuer valuation and market conditions
- C. Daily stock market index levels

D. Exchange-mandated tick sizes

Answer: B

Question: 8

A registered representative becomes the subject of a reportable complaint. Which form is used to update regulatory records?

- A. Form U4
- B. Form D
- C. Form BD
- D. Form CRS

Answer: A

Question: 9

Which expense information must be disclosed for private placements?

- A. Only issuer expenses
- B. Clearing firm internal costs
- C. Costs and fees associated with the investment
- D. Regulator examination fees

Answer: C

Question: 10

When discussing past performance of similar investments, which practice is required?

- A. Avoid any discussion
- B. Provide balanced context and disclaimers
- C. Guarantee similar results
- D. Highlight only successful outcomes

Answer: B

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