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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q178-Q183):

NEW QUESTION # 178

Which of the following security types is frequently offered to the public as part of a package or unit that also includes a fixed income obligation?

- A. Preferred stock
- B. Common stock
- C. Warrants
- D. Options

Answer: C

Explanation:

Step by Step Explanation:

* Warrants: Are often issued alongside fixed-income securities, such as bonds, to enhance their appeal to investors. Warrants give the holder the right to purchase company stock at a specific price in the future.

* Incorrect Options:

- * Options: Not typically bundled with fixed-income securities.
 - * Common and Preferred Stock: Usually issued separately, not as part of a package with bonds.
- SEC Guide on Warrants: SEC Warrants Information.

NEW QUESTION # 179

A city has appointed Broker-dealer XYZ to act as lead underwriter for its upcoming issuance of municipal bonds. This is an example of which of the following types of offering?

- A. A competitive offering
- **B. A negotiated offering**
- C. A follow-on offering
- D. A best-efforts offering

Answer: B

Explanation:

Step by Step Explanation:

* Negotiated Offering: Occurs when the issuer directly selects an underwriter and negotiates terms.

Common in municipal bond issuances.

* Incorrect Options:

* A: Follow-on offerings apply to subsequent issuances of equity securities.

* C: Competitive offerings involve multiple underwriters submitting bids.

* D: Best-efforts offerings do not guarantee the sale of all securities.

MSRB Overview of Municipal Offerings: MSRB Offerings.

NEW QUESTION # 180

The formation of an asset-backed security or debt obligation that represents a claim on the cash flows from mortgage loans is known as:

- **A. Securitization**
- B. Hypothecation
- C. Claim processing
- D. Loan processing

Answer: A

Explanation:

Step by Step Explanation:

* Securitization: The process of pooling financial assets, such as mortgage loans, and creating asset-backed securities that investors can buy.

* Incorrect Options:

* B: Hypothecation refers to pledging assets as collateral.

* C & D: Loan and claim processing are administrative terms, not related to the creation of securities.

References:

* SEC Guidance on Asset-Backed Securities: SEC ABS Info.

NEW QUESTION # 181

If a company with a single outstanding bond issue chooses to extinguish this debt through refunding, which of the following actions will occur?

- A. The company will issue stock to replace the bonds.
- B. The company will establish a sinking fund for use in making regular open-market purchases of the bonds.
- C. The company will buy back the bonds, at a discount, from the bondholders.
- **D. The company will retire one debt with the proceeds from another issue.**

Answer: D

Explanation:

Refunding involves replacing existing debt with new debt, usually to take advantage of lower interest rates.

- * B is correct because the company issues new bonds to pay off the existing debt.
- * A is incorrect as refunding involves issuing debt, not equity.
- * C is incorrect because the company is not obligated to buy back bonds at a discount.
- * D is incorrect because a sinking fund is used for gradual repayment, not refunding.

NEW QUESTION # 182

Which of the following strategies is best for mitigating the risk of a concentrated position?

- **A. Diversification**
- B. Dividend reinvestment
- C. Use of leverage
- D. Dollar-cost averaging

Answer: A

Explanation:

Step by Step Explanation:

- * Diversification: Spreads investments across multiple securities, industries, or asset classes to reduce exposure to a single security or sector.
 - * Other Options:
 - * Use of Leverage: Increases, not decreases, portfolio risk.
 - * Dollar-Cost Averaging: Reduces timing risk but does not address concentration.
 - * Dividend Reinvestment: Enhances returns but does not mitigate concentration risk.
- SEC Guidance on Diversification: SEC Diversification.

NEW QUESTION # 183

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