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**FINRA**  
**Securities Industry**  
**Essentials (SIE)**  
**Exam Details**



testprep

- Exam Name: Securities Industry Essentials (SIE)
- Number of Questions: 75
- Format: Multiple-choice
- Duration: 1 hour and 45 minutes
- Passing Score: 70
- Cost: \$60

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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q31-Q36):

### NEW QUESTION # 31

The Options Clearing Corporation (OCC) is a registered clearing agency for which of the following products?

- A. Listed stocks
- B. Over-the-counter bonds
- C. Exchange-traded funds (ETFs)
- **D. Long-term Equity Anticipation Securities (LEAPS)**

**Answer: D**

Explanation:

The Options Clearing Corporation (OCC) is responsible for issuing and guaranteeing the performance of listed options contracts, including Long-term Equity Anticipation Securities (LEAPS), which are long-term options.

\* D is correct because LEAPS are a type of listed options contract cleared by the OCC.

\* A is incorrect because listed stocks are not options contracts.

- \* B is incorrect because over-the-counter bonds are not cleared by the OCC.
- \* C is incorrect because ETFs are not options, though ETF options may be cleared by the OCC.

### NEW QUESTION # 32

Which of the following responses describes a warrant?

- A. An interest-paying security
- **B. The right to purchase a specified amount of shares**
- C. Redemption rights for a debt instrument
- D. A fixed-income security issued by a state or municipality

**Answer: B**

Explanation:

Step by Step Explanation:

\* Warrants: These are long-term options issued by a company that give the holder the right to buy shares at a specific price before expiration. They are typically attached to bond or stock offerings to make them more attractive.

\* Incorrect Options:

\* A: Warrants do not pay interest.

\* B: Refers to callable bonds, not warrants.

\* D: Describes municipal bonds, not warrants.

References:

\* SEC Guide to Warrants and Options: SEC Warrants Information.

### NEW QUESTION # 33

Which of the following responses best describes a short sale?

- **A. A sale of securities that the investor does not own**
- B. A sale of securities that results in a loss
- C. A sale of securities that the investor had purchased in his cash account but had not yet paid for
- D. A sale of securities that results in an unsecured debit balance in the investor's account

**Answer: A**

Explanation:

Step by Step Explanation:

\* Short Sale Definition: Involves selling borrowed securities with the expectation of repurchasing them at a lower price.

\* Investor Ownership: Short sales do not involve securities already owned by the seller.

\* Other Options: None of the other choices accurately define a short sale.

References:

\* SEC Regulation SHO (Short Selling): SEC Short Sales.

### NEW QUESTION # 34

Which of the following characteristics is true of open-end mutual fund shares?

- **A. They are purchased by investors directly from the fund or through a broker-dealer offering the fund.**
- B. They terminate and dissolve on an established date.
- C. They are purchased by investors in the secondary market.
- D. Their price is calculated intra-day based on the changing market value of the fund.

**Answer: A**

Explanation:

Open-end mutual funds do not trade on secondary markets. Instead, shares are continuously issued or redeemed by the fund at the net asset value (NAV), calculated at the market close.

\* D is correct because investors purchase and redeem shares directly through the fund or authorized brokers.

\* A is incorrect because mutual funds do not have a predetermined dissolution date.

\* B is incorrect because mutual fund shares are priced at the NAV calculated once daily after the market closes.

\* C is incorrect because secondary market trading applies to closed-end funds and ETFs, not open-end mutual funds.

### NEW QUESTION # 35

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 establish a sinking fund for use in making regular open-market purchases of the bonds.
- B. The company will issue stock to replace 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 # 36

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