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## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q128-Q133):

### NEW QUESTION # 128

Offering 403(b) tax-sheltered annuity accounts to which of the following groups is permissible?

- A. Small business owners
- **B. Employees of a nonprofit hospital**
- C. Volunteer workers
- D. Active duty military personnel

**Answer: B**

Explanation:

Step by Step Explanation:

\* 403(b) Accounts: These tax-advantaged retirement plans are specifically for employees of public schools, tax-exempt organizations, and certain other nonprofit employers, such as hospitals.

\* Incorrect Options:

\* Volunteer Workers: Ineligible unless they are also employees.

\* Small Business Owners and Military Personnel: These groups typically qualify for other retirement plans, not 403(b).

:

IRS Publication 571 (403(b) Plans): IRS 403(b) Guidance.

### NEW QUESTION # 129

Which of the following statements is true of the writer of a listed equity call option?

- **A. They have the obligation to sell stock at a fixed strike price.**
- B. They have the obligation to buy stock at a fixed strike price.
- C. They have the right to sell stock at a fixed strike price.
- D. They have the right to buy stock at a fixed strike price.

**Answer: A**

Explanation:

Step by Step Explanation:

\* Call Option Writer: When writing (selling) a call option, the writer has the obligation to sell the underlying stock at the strike price if the buyer exercises the option.

\* Incorrect Options:

\* A & B: Only the option buyer has rights, not the writer.

\* D: Obligations to buy stock apply to put option writers, not call option writers.

:

Options Clearing Corporation (OCC) Options Education: OCC Options Education.

### NEW QUESTION # 130

The primary market is regulated by the SEC under which of the following acts?

- **A. The Securities Act of 1933**
- B. The Investment Advisers Act of 1940
- C. The Securities Exchange Act of 1934
- D. The Investment Company Act of 1940

**Answer: A**

Explanation:

The primary market deals with the issuance of new securities, which is regulated under the Securities Act of 1933. This act requires issuers to provide full disclosure of material information to investors to ensure transparency and fairness in new offerings.

- \* A is correct because the Securities Act of 1933 governs initial offerings.
- \* B is incorrect because the Securities Exchange Act of 1934 regulates secondary market trading.
- \* C is incorrect because the Investment Advisers Act of 1940 pertains to investment advisers.
- \* D is incorrect because the Investment Company Act of 1940 governs mutual funds and other investment companies.

### NEW QUESTION # 131

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

Reference: SIE Study Guide, Chapter 3: Corporate Bonds

### NEW QUESTION # 132

An investor generally purchases an open-end mutual fund from which of the following parties?

- A. An existing shareholder
- **B. The fund's underwriter**
- C. The fund's custodian
- D. The NYSE

**Answer: B**

Explanation:

Step by Step Explanation:

\* Open-End Mutual Funds: Shares are purchased directly from the fund or its underwriter at the current Net Asset Value (NAV), plus any applicable sales charges.

\* Custodian: Holds the fund's assets but does not sell shares.

\* NYSE and Shareholders: Open-end funds do not trade on exchanges or between individual shareholders.

References:

\* SEC Mutual Fund Basics: SEC Mutual Funds.

### NEW QUESTION # 133

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