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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q67-Q72):

NEW QUESTION # 67

Which of the following risks are associated with Treasury securities?

- A. Prepayment risk
- B. Liquidity risk
- C. Interest rate risk
- D. Credit risk

Answer: C

Explanation:

Step by Step Explanation:

* Interest Rate Risk: Treasury securities are sensitive to changes in interest rates. When rates rise, Treasury prices fall, exposing investors to price risk.

* Incorrect Options:

* Credit Risk: Virtually nonexistent for Treasuries, as they are backed by the U.S. government.

- * Liquidity Risk: Treasuries are highly liquid.
 - * Prepayment Risk: Applies to mortgage-backed securities, not Treasuries.
- References:
- * SEC Bond Risk Disclosures: SEC Treasury Risks.

NEW QUESTION # 68

Which of the following responses describes treasury stock?

- A. U.S. government securities held by a corporation
- B. Restricted stock owned by officers
- C. Stock subsequently reacquired by the issuer
- D. Authorized but unissued stock

Answer: C

Explanation:

Treasury stock refers to shares that were issued by a company and subsequently repurchased by the company. These shares are held in the company's treasury and are not considered outstanding.

- * C is correct because treasury stock is stock reacquired by the issuer.
- * A is incorrect because authorized but unissued stock has never been issued.
- * B is incorrect because restricted stock refers to shares issued with restrictions on transferability, not reacquired stock.
- * D is incorrect because it incorrectly refers to government securities, not corporate stock.

NEW QUESTION # 69

Corporate bonds unsecured by any pledge of property are called:

- A. Collateral trust bonds
- B. General obligation (GO) bonds
- C. Trust certificates
- D. Debentures

Answer: D

Explanation:

Step by Step Explanation:

- * Debentures: Corporate bonds not backed by physical assets or collateral. They rely on the issuer's creditworthiness.
- * Incorrect Options:
- * B: Trust certificates are a legacy term for bonds backed by a trust.
- * C: Collateral trust bonds are secured by financial assets.
- * D: GO bonds are issued by municipalities, not corporations.

References:

- * SEC Guide on Corporate Bonds: SEC Corporate Bonds.

NEW QUESTION # 70

Which of the following statements describes a characteristic of exchange-traded funds (ETFs)?

- A. ETFs are not permitted to be purchased on margin.
- B. ETFs are offered with front-end or back-end loads.
- C. ETFs are purchased and sold daily at net asset value (NAV).
- D. ETF expense ratios are generally lower than those of mutual funds.

Answer: D

Explanation:

Step by Step Explanation:

- * ETF Expense Ratios: ETFs generally have lower expense ratios compared to mutual funds due to their passive management style.
- * Incorrect Options:
- * A: ETFs do not have sales loads; they are traded like stocks.

- * B: ETFs can be purchased on margin, like other equities.
 - * C: ETFs are traded throughout the day at market prices, not NAV.
- References:
- * SEC ETF Fact Sheet: SEC ETF Info.

NEW QUESTION # 71

Which of the following statements is true of the comparison between penny stocks and blue-chip stocks?

- A. Penny stock prices are generally more stable than blue-chip stock prices.
- B. Penny stock issuers are generally better capitalized than issuers of blue-chip stocks.
- **C. Penny stocks are generally less liquid than blue-chip stocks.**
- D. Penny stocks are more likely to pay dividends than blue-chip stocks.

Answer: C

Explanation:

Step by Step Explanation:

* Penny Stocks: These are low-priced, highly speculative stocks often issued by small or distressed companies. They generally have low liquidity, meaning they can be difficult to buy or sell without significantly impacting the price.

* Incorrect Options:

* Dividends: Penny stocks rarely pay dividends, unlike blue-chip stocks.

* Price Stability: Penny stocks are highly volatile compared to blue-chip stocks.

* Capitalization: Blue-chip companies are far better capitalized.

References:

* SEC Bulletin on Penny Stocks: SEC Penny Stocks.

NEW QUESTION # 72

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