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QUESTION 1

Common stocks for which of the following industries are most likely to decline in value when interest rates rise?

- A. automobile manufacturers
- B. airlines
- C. stock brokers
- D. public utility companies

Correct Answer: D

public utility companies. Interest rates most affect the companies with the greatest amount of debt. Public utility companies are highly leveraged. Hence, they most likely incur the largest effect of rising interest rates.

QUESTION 2

Smart Guys Securities Corporation has given a workable bid to Better Guys Securities Corporation. If market conditions change, Smart Guys may:

- A. not change the bid
- B. not change the bid unless first notifying the other dealer
- C. change the bid only with prior approval of the other dealer
- D. change the bid

Correct Answer: D

change the bid. A workable bid indicates a price level where a dealer is willing to negotiate business. It is not a firm bid and may be changed before becoming firm.

QUESTION 3

The most common type of bond issued by a well-established company is:

- A. a debenture
- B. a senior secured note
- C. a convertible
- D. an open-end mortgage

Correct Answer: A

a debenture. Because of the company's well-established financial condition, it issues a debenture that has no specific collateral and is only backed by the creditworthiness of the issuer.

QUESTION 4

A four-letter symbol assigned to an issue is characteristic of an equity security that is:

- A. authorized for inclusion in the NASDAQ system
- B. listed on the NYSE
- C. admitted to unlisted trading privileges on a regional stock exchange
- D. trading in less than 100-share units on the American Stock Exchange

Correct Answer: A

authorized for inclusion in the NASDAQ system. Stocks listed on an exchange have no more than three characters in their symbols.

QUESTION 5

In a triple net lease, which of the following is the tenant not responsible for paying?

- A. taxes
- B. financing charges
- C. insurance premiums
- D. maintenance

Correct Answer: B

financing charges. In a triple net lease, the tenant is responsible for taxes, insurance, and maintenance.

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