



# FINRA-SERIES-7<sup>Q&As</sup>

FINRA General Securities Representative Examination (GS)

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### QUESTION 1

Which of the following sources provides news of prospective municipal securities sales to underwriters?

- A. the Blue List
- B. the daily Bond Buyer
- C. the SEC News Digest
- D. The Wall Street Journal

Correct Answer: B

the daily Bond Buyer. News is covered in the daily Bond Buyer as well as Munifacts, which is operated by the daily Bond Buyer. The Blue List shows only current offerings, not prospective ones.

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### QUESTION 2

In considering the fairness of a firm's markup, the FINRA considers:

- A. dealer cost for the security
- B. financial condition of the client
- C. profitability of the member firm
- D. amount of the transaction

Correct Answer: D

amount of the transaction. The other choices are not FINRA considerations. The dollar amount of the transaction is one of the factors considered in markup fairness. Other factors include the type of security, the amount of service rendered, the unit price of the security, and general availability of the security.

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### QUESTION 3

For what time period does a Form 144 remain in effect?

- A. 30 days
- B. 60 days
- C. 90 days
- D. one year

Correct Answer: C

90 days. To avoid a forced sale, stock may be sold under Rule 144 over a 90-day period.

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#### QUESTION 4

A NYSE floor member executing an order for a public customer asks the specialist in the stock to guarantee a price while giving the customer an opportunity to obtain a better price. This procedure is known as:

- A. a stop order
- B. stopping stock
- C. floor protection
- D. a special deal

Correct Answer: B

stopping stock. This is the definition of the term "stopping stock".

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#### QUESTION 5

Which of the following is a benefit of Section 8 low-income housing partnerships?

- A. high, reliable income
- B. large deductions
- C. potential for capital appreciation
- D. low risk

Correct Answer: D

low risk. The low risk is a consequence of the government guarantee or subsidy.

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