

# QUESTIONS & ANSWERS

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**Financial**

# Series-7

*Series 7*



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**QUESTION: 8**

UGMA stands for \_\_\_\_\_.

- A. Uniform Grant to Minors Act
- B. Uniform Grant to Minorities Act
- C. Uniform Gift to Minors Act
- D. Uniform Gift to Minorities Act

**Answer: C**

**QUESTION: 9**

For the New York Stock Exchange, a company must have at least \_\_\_\_\_ million

- A. 1.0, 2000, 150
- B. 1.0, 3000, 100
- C. 1.1, 2000, 100
- D. 1.1, 3000, 150

**Answer: C**

**QUESTION: 10**

\_\_\_\_\_ is shorthand for regular way settlement.

- A. T + 3
- B. S + 2
- C. Z + 1.5
- D. N + 3.5

**Answer: A**

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