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問題集

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Exam : **SOFQ**

Title : Securities Operations
Foundation Qualification
(SOFQ)

Version : DEMO

1.A bond which permits the issuer to redeem the bond prior to its maturity date is known as a:

- A. Demandable bond
- B. Callable bond
- C. Requestable bond
- D. Askable bond

Answer: B

2.Within internal books and records, the recording of the trading book on a securities trade facilitates:

- A. Reconciliation of settled positions, per trading book and per security - between the trading department and operations
- B. Reconciliation of settled positions, per trading book and per security - between operations and the firm's custodian
- C. Reconciliation of trading positions, per trading book and per security - between the firm's counterparty and the firm's custodian
- D. Reconciliation of trading positions, per trading book and per security - between the trading department and operations

Answer: D

3.The divisors applicable to the calculation of bank interest are:

- A. EUR = 360, USD = 360, GBP = 365
- B. EUR = 365, USD = 360, GBP = 365
- C. EUR = 365, USD = 365, GBP = 360
- D. EUR = 360, USD = 365, GBP = 360

Answer: A

4.The market in which debt is issued over the long-term describes:

- A. The money market
- B. The foreign exchange market
- C. The capital market
- D. The equity market

Answer: C

5.The two choices for the settlement method utilised within a securities market are:

- A. 'Account Settlement' and 'Tumbling Settlement'
- B. 'Tumbling Settlement' and 'Continuing Settlement'
- C. 'Continuing Settlement' and 'Account Settlement'
- D. 'Rolling Settlement' and 'Account Settlement'

Answer: D