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QUESTION 1

DTC - the central securities depository for US equities is the abbreviation for:

- A. Depository Trust Company
- B. Depot Transaction
- C. Deposit and Trade Conglomerate
- D. Depot for Trades Corporation

Correct Answer: A

QUESTION 2

The type of organisation that provides securities underwriting services is known as a

- A. Investment bank
- B. Insurance company
- C. Commercial bank
- D. Pension fund

Correct Answer: A

QUESTION 3

The Clearstream Group includes:

- A. The ICSD 'Clearstream Banking Paris' and the NSCD 'Clearstream Banking Munich'
- B. The ICSD 'Clearstream Banking Brussels' and the NSCD 'Clearstream Banking Berlin'
- C. The ICSD 'Clearstream Banking Luxembourg' and the NSCD 'Clearstream Banking Frankfurt'
- D. The ICSD 'Clearstream Banking Amsterdam' and the NSCD 'Clearstream Banking Luxembourg'

Correct Answer: C

QUESTION 4

Grey market trading refers to:

- A. Trading of equity and bonds by investors aged 65 and over at the start of the tax year
- B. Trading in convertible and exchangeable bonds prior to their conversion



- C. Trading in corporate bonds following the bondholder's decision to take-up a put option
- D. Trading in a new issue of bonds by parties not involved in the syndication process

Correct Answer: D

QUESTION 5

The International Monetary Fund is an example of:

- A. A supranational organisation
- B. A sovereign wealth fund
- C. An investment bank
- D. A securities market regulator

Correct Answer: A

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