



# SOFQ<sup>Q&As</sup>

Securities Operations Foundation Qualification (SOFQ)

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#### QUESTION 1

On a scale of 1,500,000 Microsoft Corporation shares at a price of USD 3.78 per share, the SEC Fee payable is::

- A. USD 1.89
- B. USD 18.90
- C. USD 189.00
- D. USD 1890.00

Correct Answer: C

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#### QUESTION 2

IPO stands for:

- A. International Private Offering
- B. Inclusive Pre Offering
- C. Initial Public Offering
- D. Integrated Post Offering

Correct Answer: C

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#### 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

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#### QUESTION 4

The type of organisation that specializes in deposit-taking and cash loans is known as a:

- A. Mutual fund
- B. Commercial bank



C. Investment bank

D. Private bank

Correct Answer: B

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#### QUESTION 5

The calculation of profit and loss for securities includes:

A. Realised (potential) PandLand Unrealised (actual) PandL

B. Realised (projected) PandL and Unrealised (authentic) PandL

C. Realised (predicted) PandL and Unrealised (likely) PandL

D. Realised (actual) PandLand Unrealised (potential) PandL

Correct Answer: D

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