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QUESTION 1

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

Correct Answer: D

QUESTION 2

Accrued interest is designed to:

- A. Compensate the buyer of an interest-bearing bond for interest earned, (but not paid) since the previous coupon payment date
- B. Compensate the seller of an interest-bearing bond for interest earned, (but not paid) relating to the next coupon payment date
- C. Compensate the buyer of an interest-bearing bond for interest earned, (but not paid) relating to the next coupon payment date
- D. Compensate the seller of an interest-bearing bond for interest earned, (but not paid) since the previous coupon payment date

Correct Answer: D

QUESTION 3

'ISO' stands for:

- A. Invention of Standards for Organisations
- B. Intercontinental Symposium of Organisations
- C. International Organisation for Standardisation
- D. Intraterritorial Organisation of Securities

Correct Answer: C



QUESTION 4

The ISO currency code \\CHF represents:

- A. Ivory Coast Franc
- B. Chinese Renminbi
- C. Swiss France
- D. Norwegian Krone

Correct Answer: C

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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