



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

Securities Operations Foundation Qualification (SOFQ)

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#### QUESTION 1

FTM Levy is charged:

- A. On US equity trades -where the gross consideration is in excess of USD 10,000.00
- B. On UK equity trades where the gross consideration is GBP 10,000.00 and above
- C. On US equity trades where the gross consideration is USD 10,000.00 and below
- D. On UK equity trades where the gross consideration is in excess of GBP 10,000.00

Correct Answer: D

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#### QUESTION 2

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 3

A firm executing a securities trade in the capacity of agency broker intends:

- A. To take a securities position, and to remain market risk neutral
- B. Not to take a securities position, and not to remain market risk neutra
- C. Not to take a securities position, and to remain market risk neutral
- D. To take a securities position, and not to remain market risk neutral

Correct Answer: C

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#### QUESTION 4

A S.W.I.F.T. '\Bank Identifier Code\' comprises::

- A. A region code, a country code and a city code
- B. A bank code, a country code and a location code



C. A continent code, a country code and a municipality code

D. A bank code, a continent code and a currency code

Correct Answer: B

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#### QUESTION 5

A European country that has not adopted the Euro is:

A. Belgium

B. Slovakia

C. Slovenia

D. Norway

Correct Answer: D

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