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QUESTION 1

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

Correct Answer: C

QUESTION 2

A cash amount of GBP 5,909,658.47 lent on a Thursday until the second Monday (just over 1 week later) at a rate of 2.973%, would attract:

- A. 7 days of interest and a cash interest amount of GBP 3369.48
- B. 9 days of interest and a cash interest amount of GBP 4392.35
- C. 13 days of interest and a cash interest amount of GBP 6344.51
- D. 11 days of interest and a cash interest amount of GBP 5294.89

Correct Answer: D

QUESTION 3

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 4

The ISIN stands for:

- A. International Securities Identification Number; a 13-character alpha-numeric code



- B. International Secondary ID Notation; a 13-character alpha-numeric code
- C. International Securities Identification Number; a 12-character alpha-numeric code
- D. International Secondary ID Notation; a 12-character alpha-numeric code

Correct Answer: C

QUESTION 5

Within the security entitled 'Exxon Mobil Corporation USD 1.00 Common Stock', the 'USD 1.00' is commonly known as the:

- A. issue value
- B. par value
- C. notional quantity
- D. share size

Correct Answer: B

QUESTION 6

'Sub-custodian' is a term that is applicable to:

- A. International central securities depositories
- B. Global custodians
- C. Local custodians
- D. National central securities depositories

Correct Answer: B

QUESTION 7

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 neutral
- 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



QUESTION 8

The ISO currency code '\CHF represents:

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

Correct Answer: C

QUESTION 9

The physical substances of natural gas/ barley and zinc fall within the following financial heading:

- A. Cash
- B. Derivatives
- C. Commodities
- D. Securities

Correct Answer: C

QUESTION 10

The following is an inaccurate statement:

- A. Warrants have a variable exercise price
- B. Warrants are exercisable by the warrant holder
- C. Warrants will expire if not exercised by the expiry date
- D. Warrants are detachable from the original security

Correct Answer: A

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