

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

Securities Operations Foundation Qualification (SOFQ)

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**QUESTION 1**

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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**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**

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

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**QUESTION 4**

The divisors applicable to the calculation of bank interest are:

- A. EUR = 360, USD = 360, GBP = 365
- B. EUR = 365, USD = 360, GBP = 365

C. EUR = 365, USD = 365, GBP = 360

D. EUR = 360, USD = 365, GBP = 360

Correct Answer: A

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**QUESTION 5**

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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