

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

Securities Operations Foundation Qualification (SOFQ)

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**QUESTION 1**

The US regulator \SEC stands for:

- A. Securities Exchange Corporation
- B. Securities Enterprise Conglomerate
- C. Securities and Exchange Commission
- D. Securities Endeavour Company

Correct Answer: C

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**QUESTION 2**

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

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**QUESTION 3**

Where Firm A has borrowed a fixed cash amount on a secured basis from Firm B, an increase in the collateral value means that:

- A. Firm A has exposure and must return some collateral to Firm B
- B. Firm B has exposure and must request additional collateral from Firm A
- C. Firm B has exposure and must request the return of collateral from Firm A
- D. Firm A has exposure and must request the return of some collateral from Firm B

Correct Answer: D

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**QUESTION 4**

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

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#### **QUESTION 5**

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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