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QUESTION 1

The two choices for the settlement method utilised within a securities market are:

- A. Account Settlement and Tumbling Settlement
- B. Tumbling Settlement and Continuing Settlement
- C. Continuing Settlement and Account Settlement
- D. Rolling Settlement and Account Settlement

Correct Answer: D

QUESTION 2

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 3

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 4

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

QUESTION 5

\\'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

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