

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

Securities Operations Foundation Qualification (SOFQ)

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**QUESTION 1**

The ISO currency code \\CHF represents:

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

Correct Answer: C

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**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

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**QUESTION 3**

The Clearstream Group includes:

- A. The ICSD \\Clearstream Banking Paris\\ and the NSCD \\Clearstream Banking Munich\\
- B. The ICSD \\Clearstream Banking Brussels\\ and the NSCD \\Clearstream Banking Berlin\\
- C. The ICSD \\Clearstream Banking Luxembourg\\ and the NSCD \\Clearstream Banking Frankfurt\\
- D. The ICSD \\Clearstream Banking Amsterdam\\ and the NSCD \\Clearstream Banking Luxembourg\\

Correct Answer: C

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**QUESTION 4**

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: A

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#### **QUESTION 5**

The following are examples of money market instruments:

- A. Zero coupon bonds and Floating-rate notes
- B. Convertible bonds and Mortgage-Backed Securities
- C. Fixed-rate bonds and Step-up bonds
- D. Commercial Paper and Certificate of Deposit

Correct Answer: D

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