

# 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**

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 3**

A put option on a bond allows:

- A. The stock exchange to force the bondholder to redeem the bonds prior to the bond's scheduled maturity date
- B. The regulator to force the issuer to redeem the bonds prior to the bond's scheduled maturity date
- C. The bondholder to redeem their bonds prior to the bond's scheduled maturity date
- D. The bond issuer to force redemption of bonds prior to the bond's scheduled maturity date

Correct Answer: C

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**QUESTION 4**

The term SSI stands for:

- A. Standing Settlement Instruction
- B. Standard Securities Instruction

- C. Settlement Standard Instruction
- D. Securities Standing Instruction

Correct Answer: A

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**QUESTION 5**

Internal trading systems typically do not:

- A. Reflect the firm's settled positions at CSDs/custodians
- B. Have the capability to capture new trades
- C. Hold the firm's current trading positions
- D. Have the capability to amend and cancel trades

Correct Answer: A

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**QUESTION 6**

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 7**

A bond whose coupon rate increases at pre-specified dates and at a pre-specified interest rate is known as:

- A. A floating rate note
- B. A convertible bond
- C. A mortgage-backed security
- D. A step-up bond

Correct Answer: D

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**QUESTION 8**

The number of days of accrued interest, and the cash value of accrued interest - on a trade of GBP 30,500,000 Barclays Bank GBP Floating Rate Notes November 2028, paying interest quarterly - the current coupon rate is 3.7162% for the period 21s\ November to November 21s\ February, trade date 3rd February, value date 5th February, is:

- A. 45 days and GBP 139,739.30
- B. 76 days and GBP 236,004.15
- C. 107 days and GBP 336,883.85
- D. 45 days and GBP 141,680.12

Correct Answer: B

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#### QUESTION 9

Where the term "Ordinary Shares" is used in the UK, the equivalent term in the US is:

- A. Common stock
- B. Corporate Shares
- C. Normal Shares
- D. Ordinary Stock

Correct Answer: A

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#### QUESTION 10

The number of days of accrued interest, and the cash value of accrued interest - on a trade of USD 45,000,000 World Bank 4.37% Bonds 1st December 2032, paying interest semi- annually on 1st December and 1st June, trade date 22~d October, value date 25th October, is:

- A. 144 days and USD 786,600.00
- B. 174 days and USD 950,475.00
- C. 141 days and USD 770,212.50
- D. 171 days and USD 934,087.50

Correct Answer: A

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