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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

QUESTION 2

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

QUESTION 3

Sub-custodian is a term that is applicable to:

- A. International central securities depositories
- B. Global custodians
- C. Local custodians
- D. National central securities depositories

Correct Answer: B

QUESTION 4

The physical substances of natural gas/ barley and zinc fall within the following financial heading:

- A. Cash
- B. Derivatives



C. Commodities

D. Securities

Correct Answer: C

QUESTION 5

DTC - the central securities depository for US equities is the abbreviation for:

A. Depository Trust Company

B. Depot Transaction

C. Deposit and Trade Conglomerate

D. Depot for Trades Corporation

Correct Answer: A

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