



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

Securities Operations Foundation Qualification (SOFQ)

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**QUESTION 1**

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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**QUESTION 2**

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 3**

Within the security entitled '\Exxon Mobil Corporation USD 1.00 Common Stock', the '\USD 1.00' is commonly known as the:

- A. issue value
- B. par value
- C. notional quantity
- D. share size

Correct Answer: B

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**QUESTION 4**

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

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#### QUESTION 5

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

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