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QUESTION 1

On a scale of 1,500,000 Microsoft Corporation shares at a price of USD 3.78 per share, the SEC Fee payable is::

- A. USD 1.89
- B. USD 18.90
- C. USD 189.00
- D. USD 1890.00

Correct Answer: C

QUESTION 2

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

QUESTION 3

Bond types that are traded at a deeply discounted price are:

- A. Floating rate notes
- B. Zero coupon bonds
- C. Convertible bonds and Exchangeable bonds
- D. Fixed rate bonds

Correct Answer: B

QUESTION 4

The date on which a securities trade is intended to settle is: A. The actual settlement date

- B. The contractual trade date
- C. The value date



D. The trade date

Correct Answer: C

QUESTION 5

FTM Levy is charged:

- A. On US equity trades -where the gross consideration is in excess of USD 10,000.00
- B. On UK equity trades where the gross consideration is GBP 10,000.00 and above
- C. On US equity trades where the gross consideration is USD 10,000.00 and below
- D. On UK equity trades where the gross consideration is in excess of GBP 10,000.00

Correct Answer: D

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