



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

Securities Operations Foundation Qualification (SOFQ)

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#### QUESTION 1

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 2

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 neutral
- 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 3

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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#### QUESTION 4

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 5

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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