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QUESTION 1

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 2

'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 3

'ISO' stands for:

A. Invention of Standards for Organisations

B. Intercontinental Symposium of Organisations

C. International Organisation for Standardisation

D. Intraterritorial Organisation of Securities

Correct Answer: C

QUESTION 4

The 3 largest centres for foreign exchange trading are:

A. US, 2) Japan, 3) UK

B. Hong Kong, 2) UK, 3) US

C. US, 2) Singapore, 3) UK



D. UK, 2) US, 3) Singapore

Correct Answer: D

QUESTION 5

The type of organisation that provides securities underwriting services is known as a

- A. Investment bank
- B. Insurance company
- C. Commercial bank
- D. Pension fund

Correct Answer: A

QUESTION 6

A bond which permits the issuer to redeem the bond prior to its maturity date is known as a:

- A. Demandable bond
- B. Callable bond
- C. Requestable bond
- D. Askable bond

Correct Answer: B

QUESTION 7

The ISO currency code '\CHF represents:

- A. Ivory Coast Franc
- B. Chinese Renminbi
- C. Swiss Franc
- D. Norwegian Krone

Correct Answer: C

QUESTION 8

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 9

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

QUESTION 10

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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