



310-013^{Q&As}

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QUESTION 1

The clearing house of a financial futures exchange:

- A. Acts as counterparty to each buyer and seller
- B. Is responsible for market making
- C. Requires members to cover their commitments on a week-to-week basis
- D. Does not regulate trader's activities

Correct Answer: B

QUESTION 2

When a deal is done via a broker:

- A. It need not be confirmed between the counterparties as the broker confirms it immediately with both counterparties
- B. It should also be confirmed directly between the two counterparties
- C. It is important to note that broker confirmations are bilateral confirmations between the principals of the trade
- D. The dealer should obtain acknowledgement that the deal has been agreed to but may assume agreement to the trade in the absence of such acknowledgement

Correct Answer: B

QUESTION 3

What guidelines does the Model Code provide concerning the practice in the interbank market of only one party to a transaction sending a written confirmation?

- A. It is only permissible in derivatives markets
- B. Both parties of a trade should send confirmations
- C. It is recommended
- D. It is only permissible when dealing value today

Correct Answer: A

QUESTION 4

The standard benchmark measure used for the cost of funds in the London Market is:

- A. LIBID



B. Base Rate

C. LIBOR

D. UMEAN

Correct Answer: D

QUESTION 5

The "centralized collateral management service" offers which of the following services for its clients?

A. The valuation and transfer of collateral in general collateral (GC) repos only

B. The valuation and transfer of collateral in tri party repos only

C. The valuation and transfer of collateral in special repos only

D. The valuation and transfer of collateral in any type of repo

Correct Answer: B

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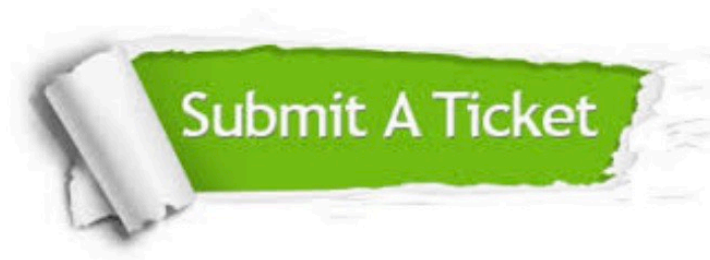
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