

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

Securities Operations Foundation Qualification (SOFQ)

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#### **QUESTION 1**

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 2**

The US regulator \\'SEC stands for:

- A. Securities Exchange Corporation
- B. Securities Enterprise Conglomerate
- C. Securities and Exchange Commission
- D. Securities Endeavour Company

Correct Answer: C

#### **QUESTION 3**

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

#### **QUESTION 4**

A bond which pays no interest during its lifetime sand repays capital on its maturity date is known as:

- A. A zero interest bond
- B. A nil interest bond



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- C. A zero coupon bond
- D. A zero interest note

Correct Answer: C

#### **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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