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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 '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 3

A S.W.I.F.T. MT541 instructs a custodian to:

- A. Receive securities on a Free of Payment basis
- B. Receive securities on a Delivery versus Payment basis
- C. Deliver securities on a Delivery versus Payment basis
- D. Deliver securities on a Free of Payment basis

Correct Answer: B

QUESTION 4

The ISO currency code 'CHF' represents:

- A. Ivory Coast Franc
- B. Chinese Renminbi

C. Swiss France

D. Norwegian Krone

Correct Answer: C

QUESTION 5

The market in which debt is issued over the long-term describes:

A. The money market

B. The foreign exchange market

C. The capital market

D. The equity market

Correct Answer: C

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