



3i0-012^{Q&As}

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QUESTION 1

As to the Charter of ACI - The Financial Markets Association, what do members not pledge?

- A. to maintain the professional level of competence and the ethical standards of loyalty
- B. to develop sound reciprocal dealing relationships between institutions and to render unconditional mutual assistance
- C. to demonstrate the best ethical behavior in strict accordance with the content and spirit of The Model Code
- D. to maintain the highest possible standards in their profession by constantly setting an example of propriety in business

Correct Answer: B

QUESTION 2

What type of institution is the typical issuer of bank bills?

- A. Credit institution
- B. Investment bank
- C. Corporate
- D. All of the above

Correct Answer: C

QUESTION 3

What is a long straddle option strategy?

- A. A long call option + long put option with the same strike prices
- B. A short call option + short put option with the same strike prices
- C. A long call option + short put option with the same strike prices
- D. A short call option + long put option with the same strike prices

Correct Answer: A

QUESTION 4

The risk associated with a stock or a bond that is not correlated with events in the market is known as:

- A. interest rate risk



- B. model risk
- C. currency risk
- D. specific risk

Correct Answer: D

QUESTION 5

With regard to operational risk awareness, which of the following best practices is incorrect?

- A. A report describing operational risks, the most significant incidents and corrective plans of action should be established on a quarterly basis.
- B. It is good practice to collect and analyze incidents and near-misses so as to set up preventive action plans for the future.
- C. Every time a report describing operational risks is produced, it should be provided to senior management.
- D. Whenever possible action plans should be put in place that mitigate operational risks that have been identified.

Correct Answer: A

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