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QUESTION 1

An example of an organisation classified as a sovereign wealth fund is:

- A. United Nations
- B. Xerox Corporation
- C. German Government
- D. China Investment Corporation

Correct Answer: D

QUESTION 2

IPO stands for:

- A. International Private Offering
- B. Inclusive Pre Offering
- C. Initial Public Offering
- D. Integrated Post Offering

Correct Answer: C

QUESTION 3

FTM Levy is charged:

- A. On US equity trades -where the gross consideration is in excess of USD 10,000.00
- B. On UK equity trades where the gross consideration is GBP 10,000.00 and above
- C. On US equity trades where the gross consideration is USD 10,000.00 and below
- D. On UK equity trades where the gross consideration is in excess of GBP 10,000.00

Correct Answer: D

QUESTION 4

A firm executing a securities trade in the capacity of agency broker intends:

- A. To take a securities position, and to remain market risk neutral
- B. Not to take a securities position, and not to remain market risk neutra



- C. Not to take a securities position, and to remain market risk neutral
- D. To take a securities position, and not to remain market risk neutral

Correct Answer: C

QUESTION 5

A S.W.I.F.T. \Bank Identifier Code\ comprises::

- A. A region code, a country code and a city code
- B. A bank code, a country code and a location code
- C. A continent code, a country code and a municipality code
- D. A bank code, a continent code and a currency code

Correct Answer: B

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