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QUESTION 1

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

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

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 4

The 'settlement cycle' within a securities market refers to the number of days:

- A. Between a trade's trade date and the actual settlement date of a trade
- B. Between a security's issue date and the value date of a trade



- C. Between a trade's trade date and its value date
- D. Between the trade date of a trade and the issue date of a security

Correct Answer: C

QUESTION 5

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

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