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QUESTION 1

The integrity of internal books and records for securities is proven by ensuring:

- A. The total ownership position is equal to the sum of open and closed trades with counterparties
- B. The total settled position is equal to the sum of open trades and trades with a future value date
- C. The total ownership position is equal to the sum of the settled positions plus/minus open trades with counterparties
- D. The total settled position is equal to the sum of open and closed trades with counterparties

Correct Answer: C

QUESTION 2

DTC - the central securities depository for US equities is the abbreviation for:

- A. Depository Trust Company
- B. Depot Transaction
- C. Deposit and Trade Conglomerate
- D. Depot for Trades Corporation

Correct Answer: A

QUESTION 3

The physical substances of natural gas/ barley and zinc fall within the following financial heading:

- A. Cash
- B. Derivatives
- C. Commodities
- D. Securities

Correct Answer: C

QUESTION 4

The calculation of profit and loss for securities includes:

- A. Realised (potential) PandLand Unrealised (actual) PandL
- B. Realised (projected) PandL and Unrealised (authentic) PandL



C. Realised (predicted) PandL and Unrealised (likely) PandL

D. Realised (actual) PandLand Unrealised (potential) PandL

Correct Answer: D

QUESTION 5

The following is an inaccurate statement:

A. Warrants have a variable exercise price

B. Warrants are exercisable by the warrant holder

C. Warrants will expire if not exercised by the expiry date

D. Warrants are detachable from the original security

Correct Answer: A

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