



# SOFQ<sup>Q&As</sup>

Securities Operations Foundation Qualification (SOFQ)

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### QUESTION 1

Internal trading systems typically do not:

- A. Reflect the firm's settled positions at CSDs/custodians
- B. Have the capability to capture new trades
- C. Hold the firm's current trading positions
- D. Have the capability to amend and cancel trades

Correct Answer: A

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### QUESTION 2

Accrued interest is designed to:

- A. Compensate the buyer of an interest-bearing bond for interest earned, (but not paid) since the previous coupon payment date
- B. Compensate the seller of an interest-bearing bond for interest earned, (but not paid) relating to the next coupon payment date
- C. Compensate the buyer of an interest-bearing bond for interest earned, (but not paid) relating to the next coupon payment date
- D. Compensate the seller of an interest-bearing bond for interest earned, (but not paid) since the previous coupon payment date

Correct Answer: D

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### QUESTION 3

The divisors applicable to the calculation of bank interest are:

- A. EUR = 360, USD = 360, GBP = 365
- B. EUR = 365, USD = 360, GBP = 365
- C. EUR = 365, USD = 365, GBP = 360
- D. EUR = 360, USD = 365, GBP = 360

Correct Answer: A

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### 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

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#### QUESTION 5

The number of days of accrued interest, and the cash value of accrued interest - on a trade of USD 45,000,000 World Bank 4.37% Bonds 1st December 2032, paying interest semi- annually on 1st December and 1st June, trade date 22~d October, value date 25th October, is:

- A. 144 days and USD 786,600.00
- B. 174 days and USD 950,475.00
- C. 141 days and USD 770,212.50
- D. 171 days and USD 934,087.50

Correct Answer: A

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