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QUESTION 1

The ISIN stands for:

- A. International Securities Identification Number; a 13-character alpha-numeric code
- B. International Secondary ID Notation; a 13-character alpha-numeric code
- C. International Securities Identification Number; a 12-character alpha-numeric code
- D. International Secondary ID Notation; a 12-character alpha-numeric code

Correct Answer: C

QUESTION 2

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

QUESTION 3

The type of organisation that specializes in deposit-taking and cash loans is known as a:

- A. Mutual fund
- B. Commercial bank
- C. Investment bank
- D. Private bank

Correct Answer: B

QUESTION 4

A 'put' option on a bond allows:

- A. The stock exchange to force the bondholder to redeem the bonds prior to the bond's scheduled maturity date
- B. The regulator to force the issuer to redeem the bonds prior to the bond's scheduled maturity date



- C. The bondholder to redeem their bonds prior to the bond's scheduled maturity date
- D. The bond issuer to force redemption of bonds prior to the bond's scheduled maturity date

Correct Answer: C

QUESTION 5

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

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