

3i0-012^{Q&As}

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QUESTION 1

It is now permissible in most markets for brokers to be owned by banks and other principals. Where there is shared management, or a share holding or other investment in a broker by a counterparty:

- A. The broker is not obligated to reveal the connection provided Chinese Walls are in place.
- B. The broker is not obligated to reveal the connection in the professional market.
- C. The broker should advise the other counterparty of the connection.
- D. The matter is covered in the Model Code.

Correct Answer: C

QUESTION 2

The Model Code's correct recommendation regarding electronic trading states:

- A. Time stamps on e-trading platforms need to be internally and globally synchronised to ensure appropriate tracking of trades
- B. All records should be archived and appropriate audit trails must be maintained as required by the local Central Bank
- C. Regular tests for loss of access to external liquidity platforms but not loss of service to clients should be undertaken
- D. Testing of the system's capability to cope with extreme volumes should be carried out annually

Correct Answer: A

QUESTION 3

What is the day count/annual basis convention for euroyen deposits?

- A. Actual/365
- B. Actual/360
- C. Actual/actual
- D. 30E/360

Correct Answer: B

QUESTION 4

Spot cable is quoted at 1.6048-53 in the brokers and you quote a customer 1.6050-55 in USD 3 million, If they sell USD to you, how much GSP will you be short of?

- A. 4,816,500.00
- B. 1,868,809.57
- C. 1.868,576.77
- D. 4,815,900.00

Correct Answer: C

QUESTION 5

What is the London Gold Price Fix (London Gold Fixing)?

- A. the gold price fixed twice a day to balance supply and demand in the London bullion market
- B. the gold price fixed at the end of the day in the London bullion market
- C. the gold price fixed at 11:00 am. local time in the London bullion market from a panel of gold traders
- D. the gold price fixed at 11:00 a.m. to settle gold contracts in the London bullion market

Correct Answer: A

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