

Version: 8.0

Question: 1

Which of the following is not one of the so-called 3 Pillars of the European Basel regulations?

- A. Liquidity and capital requirements
- B. Risk management procedures
- C. Supervisory reviews
- D. Risk analysis and market discipline

Answer: B

Question: 2

Which of the equity exchanges operates a quote-driven model?

- A. NYSE
- B. NASDAQ
- C. LSE
- D. Euronext

Answer: B

Question: 3

One of the most contentious parts of the US Dodd-Franks Act is the restrictions placed on banks carrying trading positions. What is the name of the rule that deals with this?

- A. Bernanke Rule
- B. Greenspan Rule
- C. Yellan Rule
- D. VolckerRule

Answer: D

Question: 4

An EUR-denominated Eurobond matures on 15 January 2017 and pays an annual coupon of 5% on an act/act basis. The bond is trading at a yield to maturity of 6% for settlement on 10 March 2015. Which of the following statements is true of its clean price?

- A. Its price will be above 100
- B. Its price will be below 100

- C. Its price will be 100
- D. Need more information

Answer: B

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