

SEA Rule15c3-1: REVIEW

16 responses

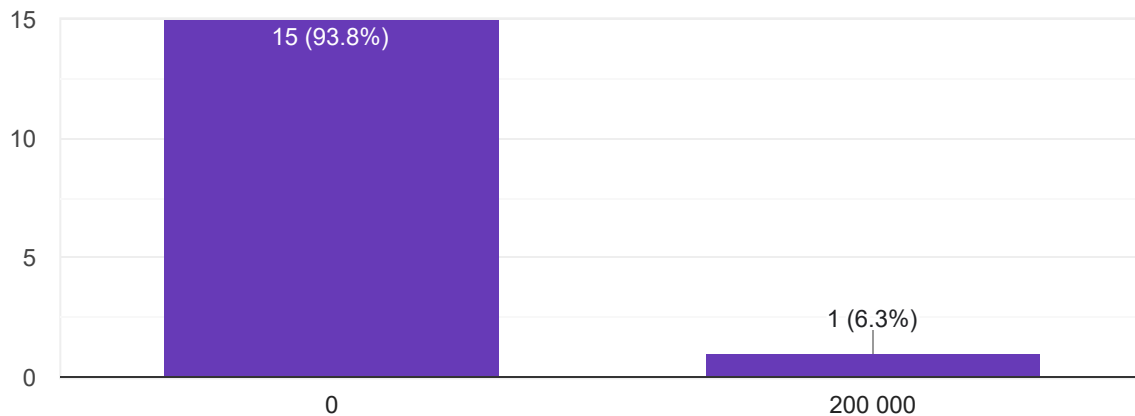
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What is the capital requirement for a Broker-Dealer to custody \$10 million Farm Credit Bank Securities that mature in less than three months?

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Round your answer to the nearest dollar.

16 responses



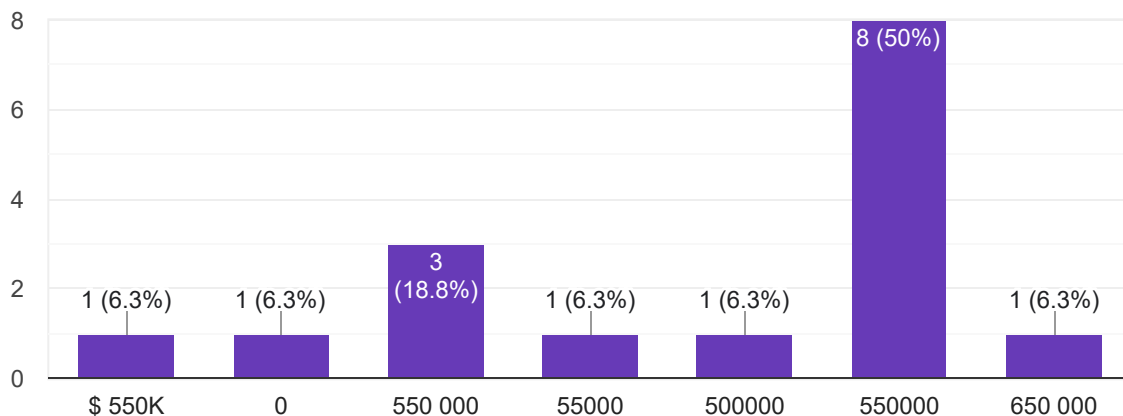
What is the capital requirement for a Broker-Dealer to custody \$10 million New York State General Obligation Bonds that mature in July of 2030.

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The bonds pay a 5% coupon and were issued at par.

Round your answer to the nearest dollar.

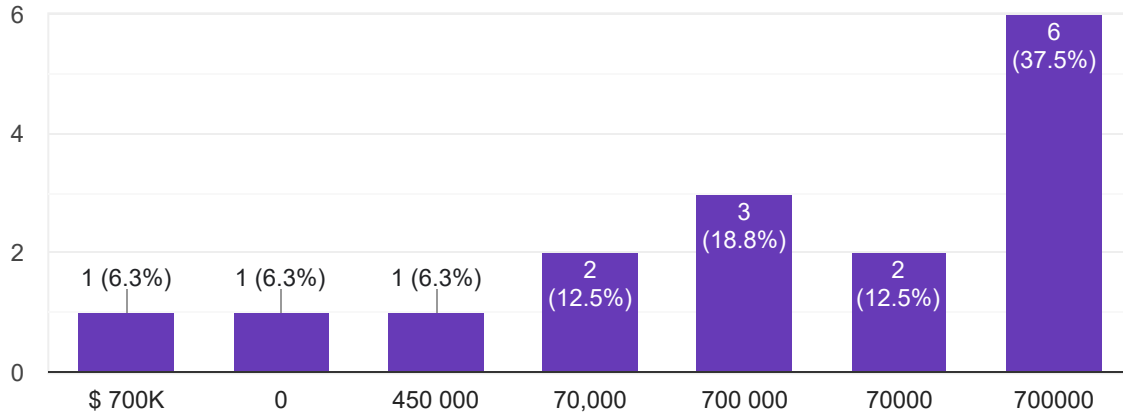
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What is the capital requirement for a Broker-Dealer to custody \$10 million Corporate Debt Instruments which are not traded flat (or in default) as to principal or interest, which have only a minimal amount of credit risk, a 7% coupon and mature in July of 2028?



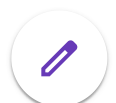
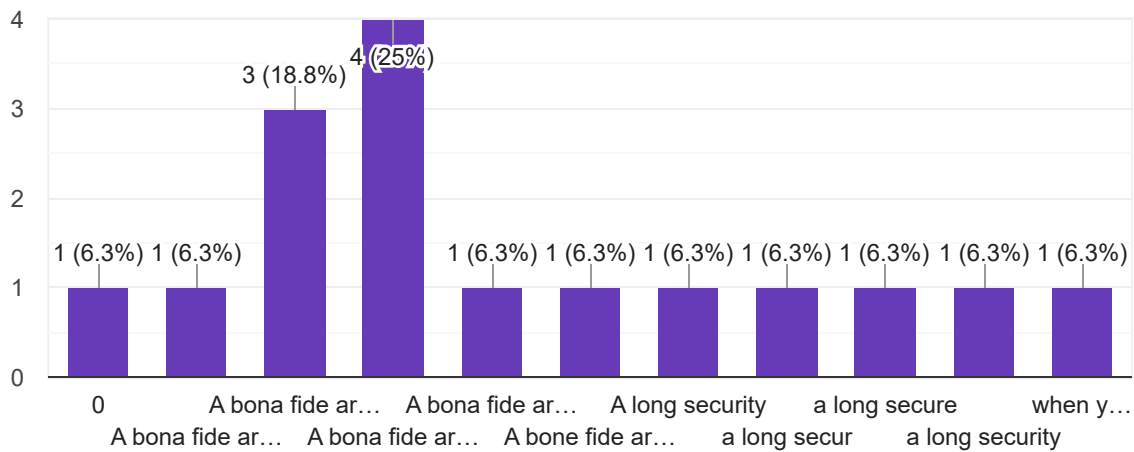
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What is bona fide arbitrage



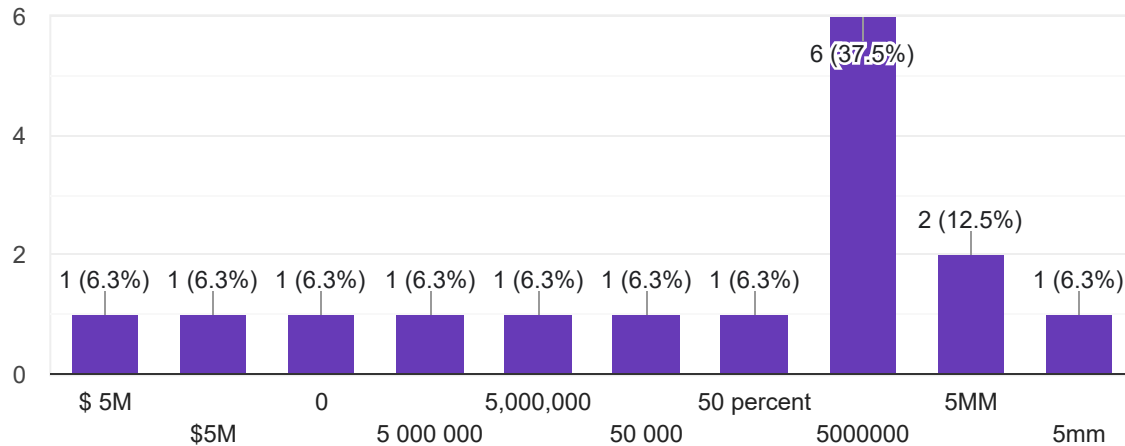
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What is the deduction for a failure to deliver on a \$10 million dollar transaction, in the case of a domestic non-marketable security where the broker-dealer has failed to deliver for 20 business days as agreed to with the counterparty?



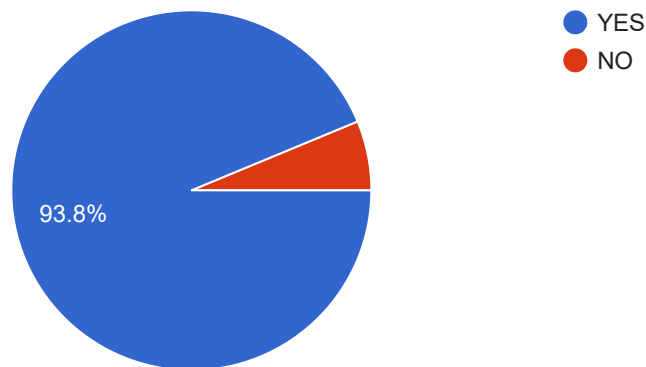
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Is a broker-dealer considered a "market maker" when entering an inter-dealer quotation service with either "OW - BW" or its name, "OFFER WANTED" or "BID WANTED".



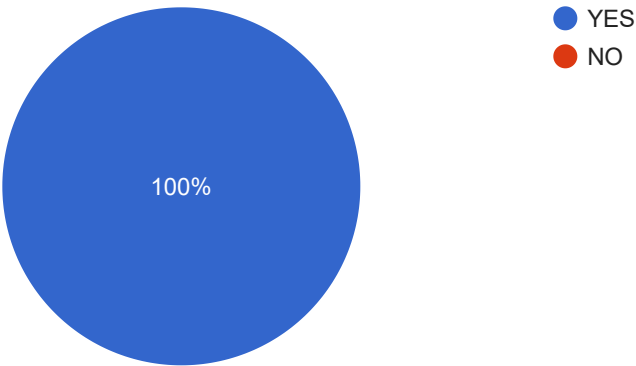
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Is a broker-dealer considered a "market maker" if it furnishes bona fide competitive quotations on request.

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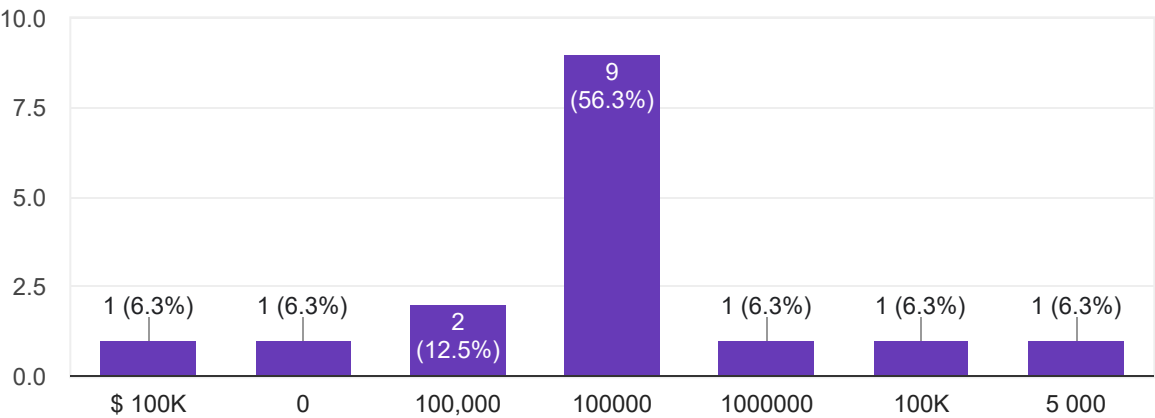
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What is the minimum capital required to maintain the status of a "dealer"

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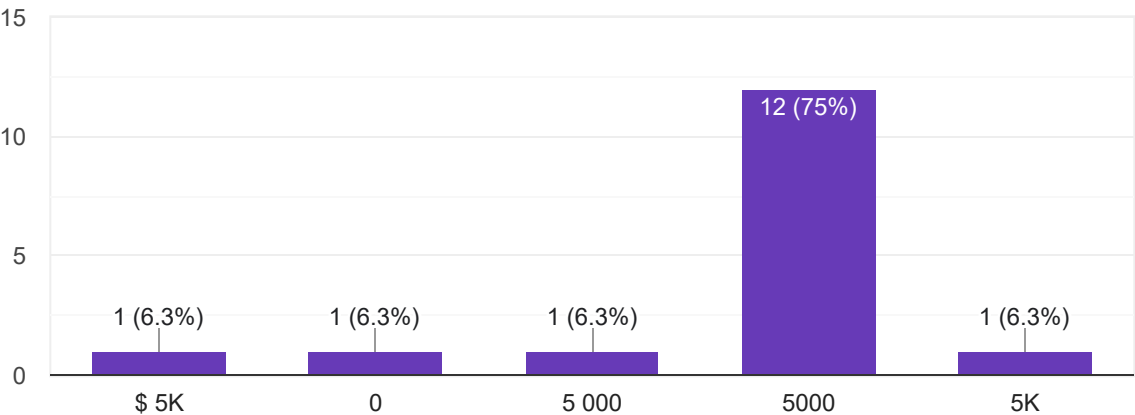
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What is the minimum capital required in order for a broker or dealer to effect a riskless principal transaction?

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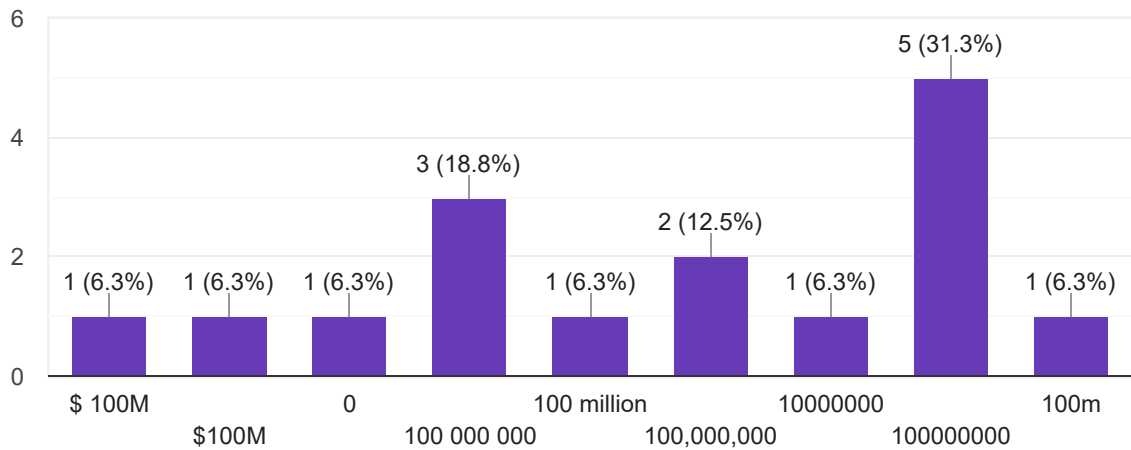
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An OTC derivatives dealer shall at all times maintain tentative net capital of not less than:

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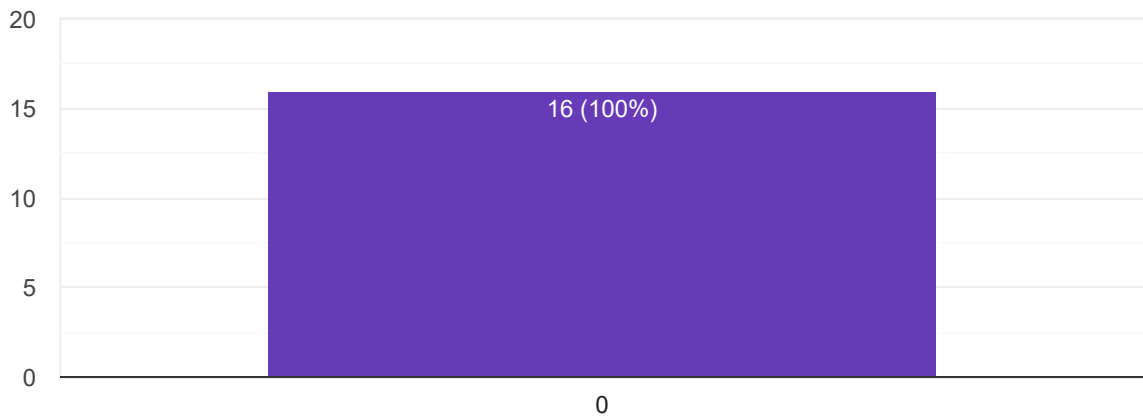
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In the case of any short term Certificate of Deposit, what is the haircut for a broker-dealer to custody \$50 million in debenture that matures in less than 30 days.

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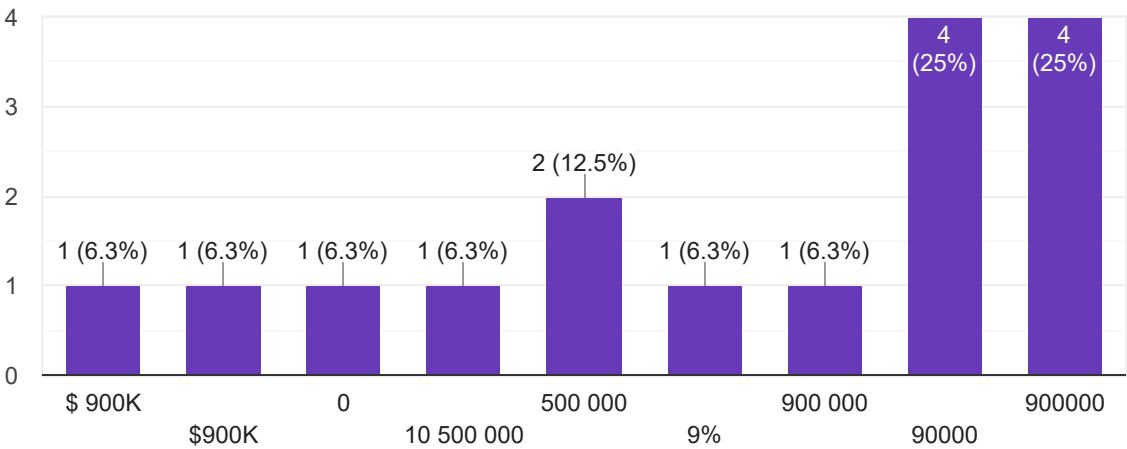
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How much capital is required for a broker-dealer to hold a \$10 million short position in a thirty year note that issued by a reputable company at par with a 5% fixed coupon.



16 responses



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