

GSE Securities Course – 301&2
Sample/Practice Questions (What do you Recollect?)
Wishing you the Very Best in your FINAL Exams!

NAME: _____ **INDEX NUMBER:** _____

INSTRUCTION: Attempt all Questions

DURATION: 40 Minutes

1. The Ghana Stock Exchange is the apex regulator of the Securities Industry in Ghana as mandated by the Securities Industry Law. A. TRUE B. FALSE

2. The following are committees of the GSE except
A. Finance Committee B. Surveillance & Compliance Committee
C. Membership Committee D. Listing Committee

3. The GSE Membership is made up of two membership groups. These are
A. Auxiliary Members and Associate Members
B. Auxiliary Members and Licensed Dealing Members
C. Licensed Dealing Members and Associate Members
D. Licensed Dealing Members and Corporate Members

4. Which of the following GSE Committees does not report to the Council of the GSE?
A. Finance Committee B. Listings Committee
C. Membership Committee D. None of the above

5. Apart from corporate bodies, no individual person can be admitted to the Associate membership of the GSE. A. TRUE B. FALSE

6. Apart from corporate bodies, no individual person can be admitted to the Licensed Dealing membership of the GSE. A. TRUE B. FALSE

7. What is the minimum stated capital required of a brokerage firm?
A. GH¢1 billion B. GH¢1 million C. GH¢100,000 D. GH¢10,000

8. Who issues a certificate of specification to a newly licensed LDM before the LDM actually opens for business?
A. The Local or Municipal Authority B. The Internal Revenue Service
C. The Ghana Stock Exchange D. The Securities and Exchange Commission

9. GSDs are the sole institutions that can trade in shares on the floor of the GSE.
A. TRUE B. FALSE

10. The Council of the GSE in taking into account evidence of LDM's efficient performance for renewal of license will want evidence of LDM's
I. broadening their territorial coverage (both within as well as outside Ghana)
II. upgrading of the technical competence of its staff and facilities
III. promotion of public education relating to the securities business
A. I and II only B. I and III only
C. II and III only D. I, II, and III

Gse Sample Questions And Answers

Michael Rajnik



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