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https://www.100test.com/kao_ti2020/645/2021_2022_2011_E5_B9_B4_E9_87_91_c92_645026.htm 金融英语 : Chartered Financial Analyst Level I Exam。 密切关注百考试题#0000ff>金融英语试题辅导中心 , 你将可以挖掘到更多实用更实惠的金融辅导资料

。 1 . A financial analyst and his employer may discharge their obligation to comply with Standard I (A) , Maintain Knowledge of and Comply with the Law by : () A . learning the financial knowledge . B . printing the requirements of the law . C . establishing and implementing internal procedures designed to prevent legal violations . D . None of the above . 2 . Working on a new underwriting project , Ann has just received information from her client that leads her to believe that the firm ' s financial statements in the registration statement overstate the firm ' s financial position . Ann should : () A . report her finding to the SEC . B . immediately dissociate herself from the underwriting in writing to the client . C . seek advice from her firms legal counsel as to the appropriate action to take . D . inform the client of the problem and issue a press release correcting the statements . 3 . Ellen , an analyst for an investment banking firm , recently discovered that one of her coworker , James , in the mergers and acquisition department , has been illegally tipping off his brother - in - law about upcoming mergers . Ellen should : () A . report her discovery to her supervisor . B . inform the SEC and the Justice Department . C . ask James to tip her about future

mergers too . D . tell James to stop because his activities are illegal

- 4 . Which of the following statements is TRUE? A member : ()
- A . can participate or assist in a violation by having knowledge of the violation and not taking action to stop it .
 - B . is not responsible for participating in illegal acts in instances where violation of the law is evident to those who know or should know the law .
 - C . when confronted with potentially illegal activities , should not consult with her supervisor and employer ' s counsel .
 - D . must report evidence of legal violations to the appropriate governmental or regulatory organization .
- 5 . Miller has just learned that he has passed the CFA Level I Exam . To celebrate he writes a memo to all his clients announcing that he has just hurdled the toughest qualifying exam in the profession . He has : ()
- A . not violated any rules by making this statement .
 - B . violated Standard II (B) : Professional Misconduct .
 - C . violated Standard V (B) : Performance Presentation .
 - D . violated Standard II (A) : Use of Professional Designation .
- key : 1 . C 2 . C 3 . A 4 . A 5 . D 6 .
- 6 . Which of the following constitutes professional misconduct? ()
- A . Being convicted of perjury .
 - B . Falsifying insurance vouchers but not being prosecuted .
 - C . Arranging to purchase goods at inflated prices to receive kickbacks from a supplier .
 - D . All of the above .
- 7 . As a CFA candidate , to fulfill the requirement of complying with the Code of Ethics and Standards of Professional Conduct , a candidate must tell : ()
- A . her immediate supervisor in writing .
 - B . her immediate supervisor orally .
 - C . the CEO of her firm in writing .
 - D . everyone in the firm

through a written memo . 8 . When performing for compensation independent service similar to services provided by ones employer , a financial analyst should , according to Standard II B , Duty to employer : () I . give the employer a written statement identifying the client , duration , and nature of the services . II . provide , in writing to client , a statement that the services are being performed independently from the employer , and the employer ' s charge for these services . III . receive written approval from his employer to provide these services . IV . receive written confirmation from the client acknowledging that the services are not being performed by the employer . A . I and II . B . II and III . C . I , II and IV . D . I , II , III and IV . 9 . Which of the following about an investment supervisor are TRUE : () I . A supervisor is expected to know what constitutes an adequate compliance system . II . A supervisor is responsible for instructing those to whom he has delegated authority about methods to detect and prevent violations of the law and standards . III . A supervisor should bring an inadequate compliance system to the attention of management and recommend corrective action . IV . A supervisor should accept supervisory responsibility whether reasonable procedures are adopted or not . A . I and III . B . I , II and III . C . II and III . D . I , II , III and IV . 10 . Connie works for a small money management firm that specializes in pension accounts . Recently , a friend asked her to act as a volunteer manager for the social service pension fund . She should : A . do nothing since this is a volunteer position . B . discuss the offer with her employer and

her firms compliance officer . C . inform her current clients in writing , get their permission , and discuss the offer with her employer . D . inform her current clients in writing and get their permission . key : 6 . D 7 . A 8 . D 9 . B 10 . B 相关阅读

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