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Question: 1

Which of the following is the MOST ACCURATE statement about self-regulatory organizations (SROs) in the securities industry?

- A. An SRO generally has sole regulatory authority over the securities industry in the jurisdiction in which it operates
- B. In most jurisdictions, SROs are prohibited from participating in the resolution of disputes related to securities transactions
- C. An SRO is a governmental entity that exercises regulatory authority over the securities industry in its jurisdiction
- D. In some jurisdictions SROs establish the standards and rules under which members of the securities industry operate

Answer: D

Question: 2

Greta is convicted of white-collar crime. However, her sentence is suspended in return for her promise of good behavior. Which of the following BEST describes Greta's sentence?

- A. Determinate sentence
- B. Probation
- C. indeterminate sentence
- D. Deferred prosecution agreement

Answer: B

Question: 3

Ramona is investigating Eugene for misconduct. Ramona and Eugene both work for Elek-Tek, which operates in a jurisdiction with strict laws for defamation, invasion of privacy and conflict of interest. During the investigation, Ramona obtained information that Eugene is cheating on his spouse. Ramona told a large group of Elek-Tek employees that Eugene was committing adultery, which turned out to be true. Which cause of action would give Eugene the BEST chance for success in a civil suit against Ramona?

- A. Conflict of interest
- B. Defamation
- C. Public disclosure of private facts

D. Slander

Answer: C

Question: 4

Which of the following is NOT required for a contract transaction or scheme to be classified as an investment contract?

- A. The expectation of making a profit
- B. Profits derived solely from the investor's management activity
- C. investment in a common enterprise
- D. An investment of money or other asset

Answer: B

Question: 5

The same customer comes into a casino each day and deposits a large amount of cash into an account but after very little gambling the customer withdraws the funds. The casino employees suspect that the customer may be engaged in money laundering activity. Assuming that the anti-money laundering (AML) regulations that govern the casino's activities correspond to the Financial Action Task Force (FATF) Recommendations, the casino:

- A. May, but is not required to file a report of suspicious transactions related to possible money laundering with appropriate authorities
- B. May not file a report of suspicious transactions related to potential criminal activity with appropriate authorities
- C. Is required to file a report of suspicious transactions with appropriate authorities because the employees suspect money laundering violations
- D. Is required to file a cash transaction report for possible criminal activity with appropriate authorities because cash was involved

Answer: C



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