



# IIA-CFSA<sup>Q&As</sup>

Certified Financial Services Auditor

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#### QUESTION 1

Enterprise risk management encompasses all EXCEPT:

- A. Aligning risk appetite and strategy
- B. Enhancing risk responsibilities and decisions
- C. Increasing Operational Surprises
- D. Seizing Opportunities

Correct Answer: C

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#### QUESTION 2

The auditor should plan an audit with an attitude of:

- A. Professional competence
- B. Professional skepticism
- C. Subject awareness
- D. Opinion sharing

Correct Answer: B

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#### QUESTION 3

Which one of the following audit objectives and steps should not be considered when performing an audit of deposit account?

- A. Determine whether dormant accounts are closed in a timely manner and in accordance with policies
- B. Determine whether there are adequate controls to prevent unauthorized access and change to customer accounts
- C. Determine whether applicable fees and penalties are properly assessed and posted
- D. None of these

Correct Answer: D

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#### QUESTION 4

Stockholders are generally allowed one vote per share held. As a result, individuals who hold large blocks of share are more likely to be board members. Which of the following are out of the basic rights of stockholders?

- A. Proxy rights



- B. Reorganization rights
- C. Exception rights
- D. Liquidation rights

Correct Answer: AD

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#### QUESTION 5

A residential mortgage-related security that is rated investment grade or is the credit equivalent thereof, or a residential mortgage security that is rated investment grade in one of the two highest investment grade rating categories. It usually qualifies as:

- A. Type II Securities
- B. Type III Securities
- C. Type I Securities
- D. Type IV Securities

Correct Answer: D

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