



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

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#### QUESTION 1

Which one of the following is an additional duty of trust department?

- A. Dividends Reinvestment Agent
- B. Stock Registrar
- C. Bond Registrar
- D. All of the above

Correct Answer: D

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#### QUESTION 2

Following are the EU Saving Directives paying agents EXCEPT:

- A. Banks and deposit takers
- B. Brokers, Registrars and investment funds
- C. Castilians and transfer agent
- D. All of these

Correct Answer: D

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#### QUESTION 3

These are used to speculate on the direction of interest rates. The trading of these contracts is limited. The future market is the main trading market for securities based on interest-rate movements. What are these?

- A. Put Options
- B. Call Options
- C. Interest rate options
- D. Index options

Correct Answer: C

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#### QUESTION 4

The major benefit of risk assessment is:

- A. To staff the plans and financial budgets



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- B. To consider factor that may affect risk and giving the highest priority to audit areas that have the highest potential for adverse consequences
- C. To identify the possible adverse effects based solely on the type of activity, the type of resources, amount of assets or complexity of transactions
- D. Failure to achieve the organization\\'s goal and objectives

Correct Answer: B

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#### QUESTION 5

To limit strategic risk management should ensure proper balance between the:

- A. Mortgage company\\'s willingness to accept risk and its supporting resources and control
- B. Internal operations and possibility of litigation
- C. Managerial capacities and capabilities and delivery networks
- D. All of these

Correct Answer: A

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