



# CTFA<sup>Q&As</sup>

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#### QUESTION 1

Some objectives of an audit related to mutual funds might include determining that:

- A. Mutual fund checks are issued in accordance with firm policies and supported by valid trades
- B. Mutual fund purchases are confirmed on a timely basis
- C. Mutual fund switches are not authorized by the client
- D. All EXCEPT "C"

Correct Answer: D

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#### QUESTION 2

Occasionally, a company will issue additional shares of its stocks, called \_\_\_\_\_, to raise additional capital.

- A. Secondary Offering
- B. IPO
- C. Private Placement
- D. Preferred Offering

Correct Answer: A

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#### QUESTION 3

Which of the following tests is used to test the weak form of market efficiency?

- A. Stock splits
- B. Insider transactions
- C. Accounting changes
- D. None of these

Correct Answer: D

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#### QUESTION 4

The efficient frontier curve shows the optimum balance between:

- A. Risk and return
- B. Return and taxation



C. Taxation and risk

D. Inflation and return

Correct Answer: A

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#### QUESTION 5

What can be a short term interim loan to pay for the construction of buildings and homes?

A. Adjustable rate mortgage

B. Appraisal

C. Construction loan

D. Conventional loan

Correct Answer: C

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