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QUESTION 1

Close-end funds are traded on:

- A. A primary market
- B. Secondary market
- C. Tertiary market
- D. Are not traded anywhere

Correct Answer: B

QUESTION 2

Close-end funds:

- A. Are not redeemable
- B. The investment portfolios generally are managed by separate entities
- C. Are permitted to invest in a greater amount of "illiquid" securities than mutual funds.
- D. All of these

Correct Answer: D

QUESTION 3

A preliminary prospectus is known as a:

- A. Golden Parachute
- B. Red herring
- C. Blue sky
- D. Green shoe

Correct Answer: B

QUESTION 4

Most of the major types of health plans are sufficient to meet the protection needs of most individuals and families. But, insurance companies offer other options that provide limited protection against certain types of perils. Which one of the following is the example of those limited types of protections?

- A. Accident protection



- B. Home income policies
- C. Comprehensive medical insurance
- D. Both A and B

Correct Answer: D

QUESTION 5

Total portfolio risk is _____.

- A. Equal to systematic risk plus non-diversifiable risk
- B. Equal to avoidable risk plus diversifiable risk
- C. Equal to systematic risk plus unavoidable risk
- D. Equal to systematic risk plus diversifiable risk

Correct Answer: D

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