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QUESTION 1

Main areas within financial services are:

- A. Banking
- B. Stock Exchange
- C. Operations
- D. All of these

Correct Answer: B

QUESTION 2

Hedge funds: A. Seek to profit in all kinds of markets by pursuing leveraging and other speculative investment practices

B. Are subject to very few regulatory controls

C. Also have voluntarily restricted investment to wealthy investors through high investment minimums

(e.g. \$1 million)

D. All of these

Correct Answer: D

QUESTION 3

Securities available for resale, by the bank, should be reported at:

- A. Principal value
- B. Principal value + interest rate
- C. Fair value
- D. All of these

Correct Answer: C

QUESTION 4

The objective/s of a trust department audit is/ are to:

- A. Detect and prevent irregularities such as errors and fraud
- B. Access adequacy of accounting, operating, and administrative controls and procedures

- C. Determine the quantity of account administration
- D. all of the above

Correct Answer: D

QUESTION 5

Information technology general controls set the foundation for effective control over computerized information system assets. General controls apply to the entire computer operation. Which of the following is/are NOT out of these controls?

- A. Administrative controls
- B. Security controls
- C. Security administration
- D. Input controls

Correct Answer: D

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