

78. An investment adviser has a client with a \$3,000,000 net worth. The adviser charges fees to the client based on capital gains and appreciation. Which of the following is true?
- A. The fees charged are legal
 - B. The fees charged are illegal under all circumstances
 - C. The fees are illegal unless receiving permission from the state or SEC
 - D. The fees are legal if obtaining permission from the state Administrator of the client or the SEC
79. An adviser must register with the SEC if only advising clients that are:
- A. Insurance companies
 - B. Investment companies
 - C. Both (A) and (B)
 - D. Neither (A) nor (B)
80. According to MSRB rule G-37, which of the following contributions are allowed to be made by an MFP located in New Jersey?
- A. A \$200 contribution to a candidate running for mayor in New York City
 - B. A \$300 contribution to a candidate running for governor of New Jersey
 - C. Both (A) and (B)
 - D. Neither (A) nor (B)
81. If an MFP violates MSRB rule G-37 and transfers to another firm after one and a half years, how long is the other firm prohibited from entering into a negotiated offering with the government where the candidate is located?
- A. Three months after the change of employment
 - B. Six months after the change of employment
 - C. One year after the change of employment
 - D. Two years after the change of employment
82. According to MSRB Rule G-37, all of the following may make political contributions EXCEPT:
- I. An MFP
 - II. A PAC
 - III. A municipal securities firm
- A. I only
 - B. II and III
 - C. I and II
 - D. I, II, and III
83. Which of the following are true regarding the restrictions of MSRB Rules G-37 and G-38?
- I. They apply only for negotiated offerings
 - II. They apply for negotiated and competitive offerings
 - III. Reports must be filed monthly with the MSRB
 - IV. Reports must be filed quarterly with the MSRB
- A. I and III
 - B. I and IV
 - C. II and III
 - D. II and IV
84. Which of the following best describes the responsibility of an executive representative of a member firm of the FINRA?
- A. Supervising the activities of registered reps
 - B. Voting on behalf of the firm in FINRA related issues
 - C. Setting up the firm element for continuing education
 - D. All of the above
85. Online access or copies of the FINRA rule book and broker-dealer's supervisory procedures must be kept at:
- A. Every office of supervisory jurisdiction
 - B. The main branch office of the firm
 - C. The office where market making activities occur
 - D. Each branch office of the firm

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Lei Huang

A red circular graphic with a gradient, appearing as a stylized arrow or a partial circle, located to the right of the name bar.

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