

CFA Kaplan Mock Questions and Answers

2022/2023

Watson's excessive drinking is unfortunate, but we have no evidence that it has affected his work, professional integrity, judgment, or reputation. If he commits an act involving fraud or dishonesty, he would violate the Standard on misconduct. (Module 3.2)

Reliable Wealth Managers wants to present a GIPS-compliant performance presentation and reference its GIPS compliance in marketing materials. Reliable is least likely required to:

- A) claim compliance with GIPS only if it has a compliant performance history of at least five years.
- B) apply GIPS compliance firmwide and not only to the specific asset classes mentioned in the marketing materials.
- C) include each discretionary fee-paying account in a composite based on its investment objectives and/or strategies. - ANSWER A)

GIPS require a firm to show a GIPS-compliant history for a minimum of five years, or since inception of the firm or the composite if in existence for less than five years. If Reliable has been in business for less than five years, it may still claim compliance with GIPS on a since-inception basis, provided the firm follows all other aspects of compliance. The other choices are requirements for a firm to claim compliance with GIPS.

Peter Taylor, a CFA charterholder and a food industry analyst for a large investment firm, has been invited by Sweet Pineapple Co. to visit the firm's processing plants in Hawaii. The Standard concerning independence and objectivity recommends that Taylor:

- A) use and pay for commercial transportation, if available.
- B) obtain written permission from his employer before he accepts this invitation.
- C) decline this invitation if he issues recommendations on the firm's securities. - ANSWER A)

The recommended procedures for compliance with Standard I(B) Independence and Objectivity include the recommendation that analysts on company visits pay their own travel expenses and use commercial transportation if it is available. (Module 3.1)

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RC Schank



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