Question 1

Which of the following situations would constitute a violation of the US Foreign Corrupt Practices Act (FCPA)

Options:

A- A private U.S company pays a S2.000 foreign corporation fee that is required in order to do business within the country

B- A private UK company transfers $25,000 to a Chilean public official to influence the award of lucrative overseas contracts.

C- A private U S company transfers $45,000 to a foreign official to influence the award of a public construction contract.

D- A private U.S company transfers $100,000 to the sole proprietor of a Brazilian company to influence the award of a commercial imports contract.

Answer:

C

Question 2

One of the purposes of securities regulation is to maintain market confidence.

Options:

A- True

B- False

Answer:

A

Question 3

Question Type: MultipleChoice

Which of the following is NOT an element generally required to establish a claim alleging the common law avil wrong for intentional infliction of emotional distress?

Options:

A- The defendant acted intentionally or recklessly

B- The victim was an employee of the defendant

C- The victim suffered distress as a result of the defendants conduct

D- The defendant engaged in extreme and outrageous conduct

Answer:

B

Question 4

Question Type: MultipleChoice

Which of the following is the MOST ACCURATE statement about rules prohibiting securities broker-dealers from making unsuitable recommendations on investments or investment strategies?

Options:

A- A suitability violation occurs when a broker does not carry out a trade requested by or promised to a customer

B- A suitability violation occurs when a broker recommends an investment or investment strategy that is inconsistent with the client's objectives

C- A suitability violation occurs when a broker trades in a client's account without obtaining prior approval for making the transaction(s).

D- A suitability violation occurs when a broker enters into transactions and manages a client's account for the purpose of generating excessive commissions

Answer:

D

Question 5

Question Type: **MultipleChoice**

During a trial in an adversarial system an attorney calls an expert witness to the stand and asks "Could you please describe the procedures you performed in your examination?'' Based on this question, which type of testimony is MOST LIKELY being presented'?

Options:

A- Impeachment

B- Direct exam Ml mi

C- Cross-examination

D- Request for admission

Answer:

B

Question 6

Question Type: **MultipleChoice**

Smith, a Certified Fraud Examiner (CFE). works for the ABC Company, a private entity that operates w\ a jurisdiction with civil laws for defamation, invasion of privacy. and conflict of interest Smith seizes and searches the personal smartphone of Green an employee of ABC even though Green was not suspected of any wrongdong Assuming that Green had a reasonable expectation of privacy in the smartphone and Smith conducted the search without a legitmate interest or authority, under which of the following claims would Green MOST LIKELY be able to recover damages against Smith?

Options:

A- Slander

B- Intrusion into Green's private matters

C- Public disclosure of private facts

D- Conflict of interest

Question 7

Question Type: MultipleChoice

Cory has been charged with lax evasion for filing a false tax return. As a defense, Cory claims that he made an honest mistake due to the tax law's complexity, and he did not intentionally submit an incorrect tax return If the court finds that his mistake was in good faith the most likely will NOT be found to have "willfully'" engaged m fraudulent actions to avoid reporting or paying his taxes.

Options:

A- True

B- False