

Certified Securities Compliance Professional Practice Test Questions and Answers

1. What is the primary purpose of securities compliance in financial firms?

- A) Maximize profits at any cost
- B) Ensure adherence to regulatory requirements and ethical standards
- C) Reduce employee training costs
- D) Eliminate all business risks

2. Which regulatory body oversees securities compliance in the United States?

- A) Federal Reserve Board
- B) Securities and Exchange Commission (SEC)
- C) Internal Revenue Service
- D) Department of Treasury

3. What is insider trading?

- A) Trading securities during regular market hours
- B) Trading based on material, non-public information
- C) Trading large quantities of securities
- D) Trading securities for institutional clients

4. How often must investment advisers typically update their Form ADV?

- A) Monthly
- B) Quarterly
- C) Annually
- D) Every five years

Answers: 1-B 2-B 3-B 4-C

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