



# IIA-CFSA<sup>Q&As</sup>

Certified Financial Services Auditor

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### QUESTION 1

Individuals can invest in REITs:

- A. By purchasing their shares directly on an open exchange
- B. By investing in a mutual fund that specializes in public real estate
- C. Both A and B
- D. Either A or B; it depends

Correct Answer: D

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### QUESTION 2

In SEC review process, if SEC believes that the registration statement contains false or misleading information or that pertinent information has been omitted, it can suspend the process with\_\_\_\_\_.

- A. Stop orders
- B. Deficiency letters
- C. Legal notices
- D. Red herring

Correct Answer: A

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### QUESTION 3

Guaranteed investment contracts are contracts between:

- A. A bank and insurance company
- B. An insurance company and a corporate retirement plan
- C. A retirement plan and a brokerage house
- D. None of these

Correct Answer: B

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### QUESTION 4

The European Central Bank is the central bank for the Europe's single currency, the EURO. The ECB's main task is to maintain the EURO's:

- A. Distribution and stability in the EURO area



- B. Purchasing power and thus price stability in the EURO area
- C. Purchasing power and thus price downfalls in the EURO area
- D. None of these

Correct Answer: B

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#### QUESTION 5

Money market funds bond funds (also called "fixed income" funds) , and stock funds (also called equity funds) are the categories of:

- A. Mutual funds
- B. Professionally managed portfolio
- C. Hedge funds
- D. None of these

Correct Answer: A

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