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NEW QUESTION: 1 Retrieve Records task has its source set to the Start task, and the record to be retrieved is associated to the object of the Start task by a temporary association. Which option in the From Records section should be used? **A.** Use its Reference **B.** Use any Associated BO from module ... of type ... **C.** Use its Association **D.** Use it **Answer: B**

NEW QUESTION: 2 Company A, recently acquired company B. Both network are running multi-area OSPF. You added a new physical connection between the locations. You are able to reach both Area 0 networks from Area 10, but you are having connectivity problems between router A1 and router B1. Referring to the exhibit, what must you use to facilitate the communication? **A.** A virtual link **B.** A multi area adjacency **C.** A virtual private network **D.** A multi area link **Answer: A**

NEW QUESTION: 3 Shirley Riley, CFA, has just been promoted, from vice president of trading to chief investment officer (CIO) at Crane & Associates, LLC (CA), a large investment management firm. Riley has been with CA for eight years, but she has much to learn as she assumes her new duties as CIO. Riley has decided to hire Denny Simpson, CFA, as the new compliance officer for

CA, Riley and Simpson have been reviewing procedures and policies throughout the firm and have discovered several potential issues. Communications with Clients Portfolio managers are encouraged to communicate with clients on a regular basis. At a minimum, managers are expected to contact clients on a quarterly basis to review portfolio performance. Each client must have an investment policy statement (IPS) created when their account is opened, specifying the objectives and constraints for their portfolio. IPSs are reviewed at client request at any time. Any time market conditions dictate a change in the investment style or strategy of a client portfolio, the client is notified immediately by phone or email.

Employee Incentive Program CA offers several incentive programs to employees. One of the most popular of these programs is the CA IPO program. Whenever CA is involved in an initial public offering (IPO), portfolio managers are allowed to participate. The structure is simple-for every 100 shares purchased on behalf of a client, the manager is awarded five shares for his own account. The manager is thus rewarded for getting an IPO sold and at the same time is able to share in the results of the IPO. Any-time shares are remaining 72 hours before the IPO goes public, other employees are allowed to participate on a first-come, first-serve basis. Employees seem to appreciate this opportunity, but CA does not have exact numbers on employee participation in the program.

Private Equity Fund CA has a private equity fund that is internally managed. This fund is made available only to clients with more than \$5 million in assets managed by CA, a policy that is fully disclosed in CA's marketing materials. Roughly one-third of the fund's assets are invested in companies that are either very small capitalization or thinly traded (or both). The pricing of these securities for monthly account statements is often difficult. CA support staff get information from different sources-sometimes using third party services, sometimes using CA valuation models. In some instances, a manager of the private equity fund will enter an order during the last trading hour of the month to purchase 100 shares of one of these small securities at a modest premium to the last trade price. If the trade gets executed, that price can then be used on the account statements. The small size of these trades does not significantly affect the fund's overall position in any particular company holding, which is typically several thousand shares.

Soft Dollar Usage Several different managers at CA use independent research in developing investment ideas. One of the more popular research services among CA managers is "Beneath the Numbers (BTN)," which focuses on potential accounting abuses at prominent companies. This service often provides early warnings of problems with a stock, allowing CA managers the opportunity to sell their clients' positions before a negative surprise lowers the price. Stocks covered by BTN are typically widely held in CA client accounts. Managers at CA have been so happy with BTN that they have also subscribed to a new research product provided by the same authors-"Beneath the Radar (BTR)." BTR recommends small capitalization securities that are not large enough to attract much attention from large institutional investors. The results of BTR's recommendations are mixed thus far, but CA managers are willing to be patient.

As they discuss these issues, Riley informs Simpson that she is determined to bring CA into full compliance with the CFA Institute's "Asset Manager Code of Professional Conduct." The following questions should be answered with the Asset Manager Code as a guide. Simpson has verified that CA has adequate disclosures of its soft dollar usage. Given that full disclosure is made to clients, indicate whether CA's use of soft dollars for BTN and BTR are consistent with the Asset Manager Code of Professional Conduct.

A. Given the adequate disclosures, use of soft dollars for both BTN and BTR is acceptable.
B. Use of soft dollars for BTN is acceptable, but not for BTR.
C. Neither of these publications provide direct benefit to the client, thus neither may be paid for with soft dollars.

Answer: B

Explanation: Explanation/Reference: Explanation: BTN obviously assists in the investment decision-making process at CA. Using soft dollars to purchase BTN is acceptable. BTR might assist in the investment decision-making process, but managers have not performed any due diligence to verify the quality of the service. With no proven track record or other apparent means of verifying BTR's value, buying the service violates the managers' duty to have a reasonable basis for making investment decisions. (Study Session 2, LOS 6.b)

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