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**NEW QUESTION: 1** Note: This question is part of series of questions that present the same scenario. Each question in the series contains a unique solution that might meet the stated goals. Some question sets might have more than one correct solution, while others might not have a correct solution. After you answer a question in this section, you will NOT be able to return to it. As a result, these questions will not appear in the review screen. You have an Azure Active Directory (Azure AD) tenant that contains a group named Group1. You need to enable multi-factor authentication (MFA) for the users in Group1 only. Solution: From the Azure portal, you configure an authentication method policy. Does this meet the goal? **A. No** **B. Yes** **Answer: A** Explanation: We should use a Conditional Access policy. Note: There are two ways to secure user sign-in events by requiring multi-factor authentication in Azure AD. The first, and preferred, option is to set up a Conditional Access policy that requires multi-factor authentication under certain conditions. The second option is to enable each user for Azure Multi-Factor Authentication. When users are enabled individually, they perform multi-factor authentication each time they sign in (with some exceptions, such as when they sign in from trusted IP addresses or when the remembered devices feature is turned on). Enabling Azure Multi-Factor Authentication using Conditional Access policies is the recommended approach. Changing user

states is no longer recommended unless your licenses don't include Conditional Access as it requires users to perform MFA every time they sign in. Reference:  
<https://docs.microsoft.com/en-us/azure/active-directory/authentication/howto-mfa-userstates>

### **NEW QUESTION: 2 Recovery**

Managerを使用してバックアップを実行中に、未使用のブロック圧縮を自動的に使用するには、どの3つの条件が満たされる必要がありますか？**A.** 高速リカバリ領域は50%未満です。**B.** 表領域はローカル管理されています。**C.** 互換性のある初期化パラメータは10.2以上に設定されています。**D.** データベースに対して保証されたリストアポイントは定義されていません。**E.** バックアップのデフォルトデバイスはディスクに設定する必要があります。**Answer: B,C,D**

**NEW QUESTION: 3** Robert Keith, CFA, has begun a new job at CMT Investments as Head of Compliance. Keith has just completed a review of all of CMT's operations, and has interviewed all the firm's portfolio managers. Many are CFA charterholders, but some are not. Keith intends to use the CFA Institute Code and Standards, as well as the Asset Manager Code of Professional Conduct, as ethical guidelines for CMT to follow. In the course of Keith's review of the firm's overall practices, he has noted a few situations which potentially need to be addressed.

Situation 1: CMT Investments' policy regarding acceptance of gifts and entertainment is not entirely clear. There is general confusion within the firm regarding what is and is not acceptable practice regarding gifts, entertainment and additional compensation. Situation 2: Keith sees inconsistency regarding fee disclosures to clients. In some cases, information related to fees paid to investment managers for investment services provided are properly disclosed.

However, a few of the periodic costs, which will affect investment return, are not disclosed to the clients. Most managers are providing clients with investment returns net of fees, but a few are just providing the gross returns. One of the managers stated "providing gross returns is acceptable, as long as I show the fees such that the client can make their own simple calculation of the returns net of fees." Situation 3: Keith has noticed a few gaps in CMT's procedure regarding use of soft dollars. There have been cases where "directed brokerage" has resulted in less than prompt execution of trades. He also found a few cases where a manager paid a higher commission than normal, in order to obtain goods or services. Keith is considering adding two statements to CMT's policy and procedures manual specifically addressing the primary issues he noted.

Statement 1: "Commissions paid, and any corresponding benefits received, are the property of the client. The benefit(s) must directly benefit the client. If a manager's client directs the manager to purchase goods or services that do not provide research services that benefit the client, this violates the duty of loyalty to the client." Statement 2: "In cases of "directed brokerage," if there is concern that the client is not receiving the best execution, it is acceptable to utilize a less than ideal broker, but it must be disclosed to the client that they may not be obtaining the best execution." Situation 4: Keith is still evaluating his data, but it appears that there may be situations where proxies were not voted. After completing his analysis of proxy voting procedures at CMT, Keith wants to insert the proper language into the procedures manual to address proxy voting. Situation 5: Keith is putting into place a "disaster recovery- plan," in order to ensure business continuity in the event of a localized disaster, and also to protect against any type of disruption in the financial markets. This plan includes the following provisions:  
\* Procedures for communicating with clients, especially in the event of extended disruption of services provided.  
\* Alternate arrangement for monitoring and analyzing investments in the event that primary systems become unavailable.  
\* Plans for internal communication and coverage of crucial business functions in the event of disruption at the primary place of business, or a communications breakdown. Keith is considering adding the following provisions to the disaster recovery plan in order to properly comply with the CFA Institute Asset Manager Code of Professional Conduct:

Provision 1: "A provision needs to be added incorporating off-site backup for all pertinent

account information." Provision 2: "A provision mandating testing of the plan on a company-wide basis, at periodical intervals, should be added." Situation 6:Keith is spending an incredible amount of time on detailed procedures and company policies that are in compliance with the CFA Institute Code and Standards, and also in compliance with the CFA Institute Asset Manager Code of Professional Conduct. As part of this process, he has had several meetings with CMT senior management, and is second-guessing the process. One of the senior managers is indicating that it might be a better idea to just formally adopt both the Code and Standards and the Asset Manager Code of Conduct, which would make a detailed policy and procedure manual redundant.Indicate whether Keith's statements in Situation 3 involving soft dollars / client brokerage are correct or incorrect.**A.** Only Statement 2 is correct.**B.** Only Statement 1 is correct.**C.** Statements 1 and 2 are both correct.**Answer:** AExplanation:Explanation/Reference: Explanation:In the case of "directed brokerage", the client is in charge. In Statement 1, since the client is directing the manager to purchase the goods or services, the practice does not violate any loyalty duty. Thus Statement1 is incorrect. In the case of Statement 2, there may be situations in which clients may recommend brokers who do not provide the best service or execution. There is not much the manager can do in these cases, but the manager is obligated to at least inform the client that they may not be receiving the best execution.Statement 2 is correct. (Study Session 2, LOS 6.b)

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