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**NEW QUESTION: 1** Welche Art von Manager wird von der ausführenden Organisation beauftragt, das Team zu führen, das für die Erreichung der Projektziele verantwortlich ist? **A.** Funktionell **B.** Projekt **C.** Programm **D.** Portfolio **Answer: B**

**NEW QUESTION: 2** Based on the exhibit, which are true? (Choose two.) **A.** Depending on the version indicated in the PDF file, FortiSandbox will scan using only one PDF reader (either Adobe Reader 9 or Adobe Reader 11). **B.** If there are no Internet Explorer 10 installations in your network, you can safely disable the scanning of Adobe Flash with Microsoft Internet Explorer 10. **C.** FortiSandbox will scan all Flash applications using Internet Explorer 10. This does not guarantee safety for Internet Explorer 8. **D.** You can safely disable the PDF scanning with Acrobat Reader 9 because PDF scanning with Acrobat Reader 11 is enabled. **Answer: A,C**

**NEW QUESTION: 3** Ein Webentwickler erstellt eine Webanwendung, die Sie als Azure-Webanwendung bereitstellen möchten. Benutzer müssen Anmeldeinformationen eingeben, um auf die Webanwendung zugreifen zu können. Sie erstellen eine neue Webanwendung mit dem Namen WebApp1 und stellen die Webanwendung für WebApp1 bereit. Sie müssen den anonymen Zugriff auf WebApp1 deaktivieren. Was solltest du konfigurieren? **A.** Authentifizierung / Autorisierung **B.** Erweiterte Tools **C.** Zugangskontrolle (IAM) **D.** Anmeldeinformationen für die Bereitstellung **Answer: A** **Explanation:** Erläuterung Anonymer Zugriff ist eine Authentifizierungsmethode. Hiermit können Benutzer eine anonyme Verbindung herstellen. Verweise:  
<https://docs.microsoft.com/en-us/biztalk/core/guidelines-for-resolving-iis-permissions-problems>

**NEW QUESTION: 4** 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.

Which of the following statements most accurately describes the obligations of investment managers related to disclosure of fees under the CFA Institute Asset Manager Code of Professional Conduct?

**A.** All fees, including periodic costs, must be reported to the client. Either gross- or net-of-fees results are acceptable, as long as the client can make the simple "net" calculation from the information provided.

**B.** All fees must be disclosed to the client, including any periodic account costs. Both gross- and net-of- fees returns must be disclosed.

**C.** A general statement concerning certain fees and costs is acceptable, as long as the majority of the fees paid to the firm are disclosed to the client. Both gross- and net-of-fees returns must be disclosed.

**Answer: B**

**Explanation:** Explanation/Reference: Explanation: General

statements regarding fees and costs are not enough. Disclosures of all fees and costs must be made. Also, in accordance with the "Disclosures" section of the Asset Manager Code of Professional Conduct, managers must provide returns gross- and net-of-fees. In addition, managers must show an itemization of charges if requested by the client. (Study Session 2, LOS 6.b)

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