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D. Investment performance being inconsistent with the expectations provided by the investment advisor

Answer: B

QUESTION: 39

What occurs when parties engage in matching purchases?

- A. A significant increase in outstanding shares
- B. An artificial increase in the market value of a security
- C. Small shareholders realize capital losses
- D. The parties pay a lower commission

Answer: B

QUESTION: 40

Under what circumstances may a registered agent represent multiple registered broker-dealers?

- A. With written permission from the broker-dealers
- B. When the broker-dealers are affiliated with each other
- C. With written permission from the SEC
- D. With written permission from FINRA

Answer: B

QUESTION: 41

Which is not part of the criteria in the Investment Company Act of 1940 requirement for an investment fund to be considered a mutual fund?

- A. A minimum of 100 investors
- B. A minimum of \$100,000 in seed money
- C. Must have sponsors, a board of directors, investment advisors, transfer agents and custodians
- D. Must maintain a diversified portfolio that follows the 75-5-10 rule

Answer: D

QUESTION: 42

What must happen before a mutual fund can assess 12B-1 fees to customers?

- A. The fees must be approved by the SEC
- B. A majority vote from the board of directors
- C. A majority vote from the Board of Directors and the shareholders
- D. Fees must be stated in the fund prospectus

Answer: C

QUESTION: 43

Which type of investment sells bonds to investors as equity stakes?

- A. Unit investment trust
- B. Contractual plan
- C. Face amount certificate
- D. Front-end load contractual plan

Answer: A

QUESTION: 44

Money market securities must mature in how many months?

- A. 6
- B. 12
- C. 13
- D. 24

Answer: C

QUESTION: 45

Which type of settlement option for a variable annuity allows the annuitant to make withdrawals in any amount he chooses?

- A. Unit refund life annuity
- B. Joint and last survivor
- C. Random withdrawal
- D. Life with period certain

Answer: C



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