Financial

CFP

Certified Financial Planner (CFP)

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QUESTION: 8
According to the _______, financial planners are not subject to the control of the act if they are:
a bank or holding company that is not an investment company; a lawyer, accountant, engineer, or
teacher who provides investment advice incidentally; a broker, dealer, or registered
representative whose advice is incidental; the publisher of a magazine or journal that discusses
financial planning; a person whose advice is limited to those securities guaranteed by the federal
government; any other person not within the law as specified by the SEC

A. Advisor Decision 1932
B. Advisor Decision 1935
C. Investment Advisors Act of 1948
D. Investment Advisors Act of 1940

Answer: D

QUESTION: 9
A __________ is a multiple-employer trust that can be used to prefund employee benefits.

A. voluntary employee beneficiary association (VEBA)
B. voluntary employee care association (VECA)
C. involuntary employee beneficiary association (IEBA)
D. involuntary employee care association (IECA)

Answer: A

QUESTION: 10
A _____ is the right of an employee to receive cash and/or stock equal to the increase in the
value of the company's stock after the date of purchase.

A. stock appreciation duty
B. stock appreciation right
C. stock appreciation purchase
D. stock appreciation option
Answer: B
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