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問題集

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Exam : **8009**

Title : Exam IV: Case Studies:
Standards: Governance,
Best Practices and Ethics -
2015 Edition

Version : DEMO

1. Employees shall be remunerated adequately for the roles that they perform, where 'adequately' is defined

- A. as being the market norm for similarly situated personnel in competitive organizations
- B. using external references and benchmarks, and in a framework which is consistent with the type of risk-taking behavior expected of employees
- C. using the risk reward profile for each business line in the organization
- D. as commensurate with policies to attract and retain high income / revenue earners

Answer: B

2. Boards of Directors, including Audit and Risk Committees must review thoroughly compensation plans of potentially "highly compensated positions" for:

- I. competitive market conditions
 - II. ensuring compliance with their corporate risk appetite and fiduciary responsibility to shareholders
 - III. ensuring any discretionary bonus plans are geared towards keeping high income / revenue generators
 - IV. reporting all such personnel to the local regulator
- A. II, III and IV only
 - B. I, II and IV only
 - C. All of the above
 - D. I and II only

Answer: D

3. What was the main risk scenario on the Metallgesellschaft trading strategy?

- A. Realized losses on short-term contracts against unrealized gains on the long-run contract
- B. The final price of the underlying being higher than the initial price
- C. The initial price of the underlying being higher than the final price
- D. The short-term price of the underlying being higher than the long-run contract

Answer: A

4. Several clients, including Procter and Gamble took legal action against Bankers Trust, claiming Bankers Trust

- A. sold them derivative products without properly advising them of the relevant risks
- B. did not honour its contractual obligations to pay
- C. was involved in accounting fraud
- D. hid profits

Answer: A

5. Which of the following was not received by Northern Rock as official support from the UK banking and government authorities?

- A. A covert money market support operation designed to cover up the difficulties Northern Rock was facing
- B. The Bank of England's role as Lender-Of-Last-resort was activated at a penalty interest rate of 150 basis points above the Bank Rate
- C. The UK government offered to guarantee all existing and new retail deposits, and to most other creditors
- D. The Bank of England provided an additional unlimited facility secured on the collateral of all Northern

Rock assets

Answer: A