

ch14

Student: _____

1. The Securities and Exchange Commission is responsible

	Full and Fair Disclosure of Information	Regulating Securities Markets	Assessing the Quality of Registered Securities
A)	Yes	No	Yes
B)	Yes	Yes	No
C)	No	Yes	Yes
D)	Yes	Yes	Yes

for:

- A. Option A
B. Option B
C. Option C
D. Option D
2. Which regulation created the Securities and Exchange Commission?
- A. Securities Act of 1933
B. Securities Exchange Act of 1934
C. Investment Company Act of 1940
D. Garn-St. Germain Depository Institutions Act of 1982
3. Which of the following divisions of the SEC regulates national securities exchanges, brokers, and dealers of securities?
- A. Division of Investment Management
B. Division of Corporation Finance
C. Division of Corporation Regulation
D. Division of Market Regulation
4. Which division of the SEC develops and administers the disclosure requirements for the securities acts and reviews all registration statements and other issue-oriented disclosures?
- A. Division of Enforcement
B. Division of Corporation Finance
C. Division of Investment Management
D. Division of Market Regulation
5. Identify the regulation that created an entity which insures investors from possible losses if an investment house enters bankruptcy.
- A. Federal Deposit Insurance Protection Act
B. Securities Investor Protection Act
C. Investment Advisers Act
D. Federal Bankruptcy Acts
6. Regulation S-X and Regulation S-K:
- A. govern the preparation of financial statements and associated disclosures.
B. govern the registration requirements for private placements.
C. outline responsibilities for audit committees of publicly held companies.
D. prohibit artificial pyramids of capital in public utilities.
7. Which regulation resulted in the creation of the Public Company Accounting Oversight Board?
- A. Investment Advisers Act
B. Securities Investor Protection Act
C. Sarbanes-Oxley Act
D. Trust Indenture Act

Savings And Investment Unit Test Bank Answers

E Durkheim



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