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CMT Association CMT Level 1 Exam Sample Questions (Q29-Q34):

NEW QUESTION # 29

Franklin Brown, CMT, is golfing with the CEO of Diamond Forest Company. The CEO tells Brown, "I will not be able to play golf next week because I will be traveling to investigate Southern Forest Company. We are considering a hostile takeover of Southern Forest and I need to gather more information." Two weeks later, Brown decides to buy the Southern Forest Company for his client accounts, but not for his personal account.

Four weeks later, Diamond Forest engages in a hostile takeover and the Southern Forest stock rises by 30%.

With respect to the MTA Code of Ethics, Brown's actions:

- A. Violate the Code with respect to acting on the basis of inside information
- B. Are in violation of the Code because Brown's actions benefited his clients
- C. Are not in violation of the Code because he did not invest in his personal account
- D. Are in violation of the Code because he waited two weeks before investing based on the information

Answer: A

Explanation:

Detailed Explanation:

The information about the hostile takeover was material non-public information (insider information). Using this information to trade, whether for a personal account or for client accounts, is a violation of the Code of Ethics and securities laws. The fact that it benefited clients does not make it ethical.

NEW QUESTION # 30

The stochastic oscillator was created utilizing which basic observation?

- A. As prices decline, the trading range tends to narrow
- B. Volume precedes price
- C. Existing oscillators were limited to a range of 0 to 100
- D. Prices tend to be closer to the upper end of the trading range during an uptrend

Answer: D

Explanation:

Detailed Explanation:

George Lane developed Stochastics based on the observation that in an uptrend, closing prices tend to be closer to the upper end (high) of the daily trading range, and in downtrends, they close near the low.

NEW QUESTION # 31

Which of the following is CORRECT regarding the shooting star candlestick pattern?

- A. The color of the real body is important
- B. It is more bearish than the evening star pattern
- C. It is more bearish than the engulfing pattern
- D. The lack of a rising window makes the pattern more bearish

Answer: D

Explanation:

Detailed Explanation:

(Note: This answer follows the specific provided source key, although standard theory often prefers a gap/window. The logic in this specific question bank likely implies that if there is no gap (rising window) separating the star from the previous candle, it signifies an immediate rejection at the highs without the exuberance of a gap, or it serves as a "failed breakout" immediately). Standard Nison theory would usually argue a gap (Star) is stronger, but based on the provided key, D is the intended answer.

NEW QUESTION # 32

In trend-based trading systems, what is the major determinant of trading activity (i.e., how often buy or sell signals are generated)?

- A. Selection of trend speed
- B. Smoothing technique used
- C. Use of a scaling factor
- D. Volatility

Answer: A

Explanation:

Detailed Explanation:

The speed of the trend parameter (e.g., a 10-day moving average vs. a 200-day moving average) determines the frequency of trades. A faster trend speed generates more signals (more activity); a slower trend speed generates fewer signals.

NEW QUESTION # 33

_____ are bonds without any collateral backing them other than a company's full faith and credit.

- A. Debentures
- B. Commercial paper (CP)
- C. Certificates of deposit (CDs)
- D. Treasury bills

Answer: A

Explanation:




Detailed Explanation:

Debentures are unsecured bonds. They are backed only by the creditworthiness and reputation (full faith and credit) of the issuer, not by specific physical assets or collateral.

NEW QUESTION # 34

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