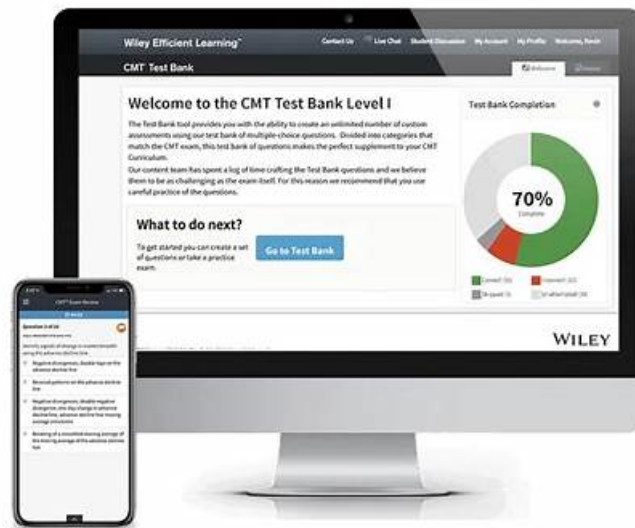


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### CMT Association CMT Level 1 Exam Sample Questions (Q295-Q300):

#### NEW QUESTION # 295

When a great majority of investors have the same view of the market:

- A. It is a warning to expect a reversal contrary to the majority opinion
- B. It is safe to assume that a reversal of trend is a low-probability outcome
- C. Market sentiment is positive
- D. It is safe to assume that the market may trend to further highs

Answer: A

Explanation:

Detailed Explanation:

This is the Theory of Contrary Opinion. When the crowd reaches a consensus (extreme majority bullish or bearish), everyone has

likely already acted on that view (bought or sold). With no one left to push the trend further, the market is vulnerable. Thus, it is a warning to expect a reversal.

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### NEW QUESTION # 296

Enrique Perrago, CMT, is an analyst for a large investment management firm. Perrago issued a research report with an initial buy recommendation on Graham Airlines. The report includes an analysis using some very new and controversial methods of technical analysis, along with complete documentation as to the procedure and rationale. Ten minutes after emailing the report to his clients, Perrago buys Graham stock for his mother's account. With respect to the MTA Code of Ethics, Perrago's actions are:

- A. Not in violation of the Code
- B. In violation of the Code with respect to the methodology, but not the security purchase
- C. In violation of the Code with respect to both the methodology and the security purchase
- D. In violation of the Code with respect to the security purchase, but not the methodology

**Answer: C**

Explanation:

Detailed Explanation:

(Note: The provided answer key states D. Let's analyze why).

\* Security Purchase: Front-running. Buying stock 10 minutes after issuance is likely not enough time for clients to act. He must give clients adequate opportunity to act on the recommendation before trading for himself or family (Priority of Transactions).

\* Methodology: While innovation is allowed, the Code requires using methods that are generally accepted or proving reasonable basis. Using "very new and controversial" methods might be seen as lacking a "reasonable basis" unless heavily substantiated. The key likely flags both as violations 7777.

### NEW QUESTION # 297

According to Russell, the major bull market ends when the yields for major Do165w Jones Industrials reach:  
166

- A. 3.5167
- B. 7.5169
- C. <2.0170
- D. 5.0168

**Answer: A**

Explanation:

Detailed Explanation:

Richard Russell (writer of Dow Theory Letters) observed historical valuation metrics. He noted that major bull markets often top out when stock valuations become extreme, which corresponds to dividend yields falling to very low levels, historically around 3.5% (or roughly 3%). Note: In modern times yields are lower, but this refers to the historical Russell rule.

Here is the formatted list of questions from your newly uploaded PDF (CMT Level 1 Question Bank Set 1). I have matched each question with the correct answer from the provided key and added detailed explanations.

### NEW QUESTION # 298

If the VIX is quoted at 20, it indicates the market is expecting a movement of about \_\_\_\_ percent over the next 30 days.

- A. 5.07
- B. 3.33
- C. 5.77
- D. 3.77

**Answer: C**

Explanation:

Detailed Explanation:

The VIX represents annualized volatility. To convert to a 30-day (monthly) expected move:

$$\text{Move} = \frac{\text{VIX}}{\sqrt{12}}$$

$$\frac{20}{3.464} \approx 5.77\%$$
 Alternatively,  $\frac{\text{VIX}}{\sqrt{252}} \times \sqrt{21 \text{ days}}$ .  
 Rule of thumb: VIX/3.46. 5.77% is the correct calculation.  
 ---

**NEW QUESTION # 299**

The CORRECT order of the Industrial Life Cycle is Innovation,

- A. Decay, Consolidation, Maturity
- **B. Consolidation, Maturity, Decay**
- C. Maturity, Consolidation, Decay
- D. Consolidation, Decay, Maturity

**Answer: B**

Explanation:

Detailed Explanation:

The standard business/industry life cycle phases are: 1. Innovation (Birth), 2. Consolidation (Growth/Shakeout), 3. Maturity (Saturation), 4. Decay (Decline).

**NEW QUESTION # 300**

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