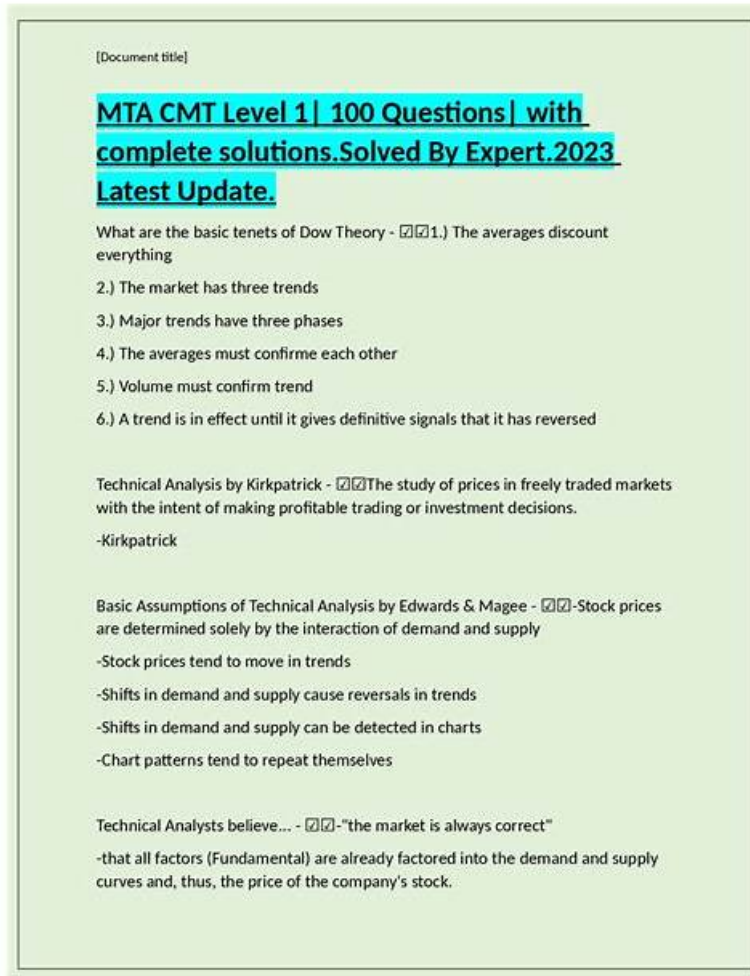


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## CMT Association CMT Level 1 Exam Sample Questions (Q190-Q195):

### NEW QUESTION # 190

Which of the following describes an equally weighted average?

- A. Is the way the Dow Jones Industrial Average is calculated
- B. Is adjusted by a divisor
- C. Considers the market capitalization of each security in the average
- **D. An investor invests the same dollar amount in each security**

**Answer: D**

Explanation:

Detailed Explanation:

In an equally weighted average (like the S&P 500 Equal Weight), the calculation assumes the investor places the same dollar amount into every stock. This contrasts with price-weighted (DJIA) or cap-weighted (S&P 500 standard) indices.

### NEW QUESTION # 191

The white or black portion of a candlestick is also referred to as the:

- A. Spinning top
- B. Doji
- **C. Real body**
- D. Shadow

**Answer: C**

Explanation:

Detailed Explanation:

The rectangular block of a candlestick, connecting the Open and the Close, is called the Real Body. The lines extending above and below are the Shadows/Wicks.

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### NEW QUESTION # 192

Three things should never be neglected in the market. Which one of the below four DOES NOT fit in this list?

- A. Crowd at the extremes
- B. Federal Reserve
- C. Ticker Tape
- **D. Advice from market experts**

**Answer: D**

Explanation:

Detailed Explanation:

In technical analysis philosophy (especially "The Art of Contrary Thinking" and Marty Zweig's rules), one should watch the price action (Ticker), liquidity/monetary policy (Fed), and sentiment (Crowd at extremes).

Advice from market experts is often considered noise or a lagging consensus that should be treated with skepticism (or used as a contrarian indicator).

### NEW QUESTION # 193

Which of the following is most likely to be considered a "material" piece of information regarding a company?

- A. A competitor CEO's speculation of a pending management change at the company

- B. The loss of a customer representing a negligible portion of a company's gross sales
- **C. The loss of a customer representing a significant portion of a company's gross sales**
- D. A former board member predicting a long-term decline in the company's stock

**Answer: C**

Explanation:

Detailed Explanation:

Information is material if its disclosure would likely affect the price of the security or if a reasonable investor would want to know it before making an investment decision. The loss of a customer representing a significant portion of sales would clearly impact earnings and the stock price.

#### **NEW QUESTION # 194**

Manuel Luscher, CMT, is meeting with a potential client. Luscher tells the potential client that "My biggest client, Tom Cardazo, is a good friend of yours and has been very happy with his compound annual return of over 10%." Luscher also tells the potential client that "I will make sure that your transactions are completed before trading for my family's accounts." With respect to the MTA Code of Ethics, Luscher's actions are:

- **A. In violation of the Code with respect to disclosing client information, but not with respect to the priority of transactions**
- B. Not in violation of the Code
- C. In violation of the Code with respect to both disclosing client information and the priority of transactions
- D. In violation of the Code with respect to the priority of transactions, but not with respect to disclosing client information

**Answer: A**

Explanation:

Detailed Explanation:

\* Client Info: Luscher violated confidentiality by revealing the name of a client (Tom Cardazo) and his returns without permission.

\* Priority: Stating that client transactions come before family accounts is actually consistent with the Code (Priority of Transactions).

Clients come first. Therefore, he is only in violation regarding the client information disclosure.

#### **NEW QUESTION # 195**

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