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CMT Association CMT Level 1 Exam Sample Questions (Q198-Q203):

NEW QUESTION # 198

Volume in a head and shoulders pattern is HIGHEST where?

- A. At the top of the head

- B. At the completion of the head
- C. During the right shoulder
- **D. During the left shoulder**

Answer: D

Explanation:

Detailed Explanation:

As noted in the previous explanation, the left shoulder represents the final strong advance of the bull trend and is typically accompanied by the highest volume in the pattern. Volume then recedes on the head and is usually lightest on the right shoulder.

NEW QUESTION # 199

If the New High-New Low Index declines while the broad market stays flat or rallies, it is time to:

- A. Initiate fresh longs
- **B. Take profits on long positions**
- C. Take profits on short positions
- D. Initiate fresh shorts

Answer: B

Explanation:

Detailed Explanation:

This scenario describes a bearish divergence. The market is holding up or rising, but fewer stocks are making new highs (internal weakness). This deterioration in breadth often precedes a market decline, making it prudent to take profits on long positions or tighten stops.

NEW QUESTION # 200

A typical head and shoulder formation requires about _____ for formation.

- A. Three days
- B. Three years
- **C. Three months**
- D. Three weeks

Answer: C

Explanation:

Detailed Explanation:

Major reversal patterns like the Head and Shoulders are significant structures that take time to develop.

According to classical technical analysis, a reliable H&S top typically takes three months or more to form to have major predictive implications.

NEW QUESTION # 201

Objective technical analysis methods:

- A. Normally witness high drawdown
- **B. Are well-defined procedures that issue unambiguous signals**
- C. Normally witness less drawdown
- D. Require a disciplined approach for success

Answer: B

Explanation:

Detailed Explanation:

Objective methods (like a moving average crossover system) are rule-based. They are well-defined procedures that issue unambiguous signals (buy/sell), leaving no room for trader discretion or subjective interpretation.

NEW QUESTION # 202

Xanjong Xu, CMT, left Welch Securities to join Charles Securities. He brought to Charles a listing of client contact information and a proprietary trading model that he helped develop while he was employed at Welch.

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

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

Answer: B

Explanation:

Detailed Explanation:

Unless Xu had explicit permission, taking proprietary client lists and proprietary trading models (intellectual property) from a former employer is a violation of the duty to the employer and standards of professional conduct. Both the client list and the model are considered property of Welch Securities.

NEW QUESTION # 203

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