

# L3M6 Practice Exam Questions, Practice L3M6 Test Online

## 83 SIE Practice Exam Questions with Correct Answers

A broker-dealer is permitted to accept payment for a new issue from a new customer when the: >>>**registration is effective**

Which of the following actions is required when a firm receives cash in excess of \$10,000 from one customer in one business day? >>>**File a Currency Transaction Report (CTR)**

A transaction in which a writer covers a position by purchasing an option is called? >>>**a closing purchase**

A customer has a cash balance in her account together with long positions in several securities. She has made no securities transactions in the account during the past 18 months. How often must the firm send her an account statement? >>>**Quarterly**

To offer its shareholders a privilege to obtain its shares at a fixed price, which of the following products does a corporation issue? >>>**Rights**

Which of the following responses describes an advantage of index funds? >>>**Lower management fees due to passive management of the fund**

Blue-sky laws are regulated by which of the following entities? >>>**State securities regulators**

Company ABC announces a 20% stock dividend for its common shareholders. If a customer holds 1,000 shares at \$50.00, what is the new price and number of shares following the payment of the stock dividend? >>>**1,200 shares at \$41.67**

An associated person who is not a registered representative is permitted to engage in which of the following activities? >>>**Provide account opening forms to a new customer**

Which of the following security types provides investors with a stated maturity date, a floating interest rate, and an option to put the security back to a financial intermediary on a daily weekly basis? >>>**Variable rate demand note**

The primary purpose of a syndicate desk in the context of an equity offering is to: >>>**Build an order book and allocate the stock**

At the time of issuance, which of the following securities normally has the longest period to expiration? >>>**Warrants**

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## CIPS L3M6 Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> <li>Understand the Environmental Impact of Procurement and Supply: This section evaluates the skills of Supply Chain Analysts in understanding how procurement affects the environment. It explores global challenges such as balancing globalization with green logistics, public awareness, external pressures, and international regulations. The environmental impact of transportation and storage is covered, including air pollution, carbon footprint calculations, noise pollution, accidents, and land use. Additionally, it highlights the government's role in promoting sustainability through policies like greener transport modes, energy efficiency, and emission reduction.</li> </ul>
Topic 2	<ul style="list-style-type: none"> <li>Understand Methods for the Storage and Movement of Inventory: This section assesses the expertise of Warehouse Managers in inventory storage and movement methods. It includes principles of warehouse design, focusing on location, layout factors such as flow and space utilization, and flexibility. It also explains various types of warehousing equipment like material handling systems, palletization techniques, packaging standards, and automation technologies that align with environmental standards.</li> </ul>
Topic 3	<ul style="list-style-type: none"> <li>Understand the Environmental Impact of Warehousing and Distribution: This section targets Logistics Coordinators and examines how warehousing and distribution contribute to environmental challenges. Topics include air pollution, carbon footprint, noise pollution, accidents, land use, and visual intrusion. It also discusses the environmental costs associated with logistics activities such as greenhouse gas emissions and global warming and strategies to mitigate these impacts. The role of government policies in sustainable logistics is emphasized, including reducing freight intensity, improving utilization rates, promoting greener transport modes, enhancing energy efficiency, and cutting emissions.</li> </ul>
Topic 4	<ul style="list-style-type: none"> <li>Understand the Concepts of Sustainability and Corporate Social Responsibility (CSR): This section of the exam measures the knowledge of Procurement Specialists and covers the foundational concepts of sustainability and CSR. It explains how sustainability involves meeting present needs without compromising future generations' ability to do the same. The focus extends beyond traditional economic criteria, incorporating environmental and social impacts into procurement decisions. CSR emphasizes extending corporate goals to include social responsibility, promoting good citizenship, and encouraging positive impacts on stakeholders, including social, economic, and cultural diversity.</li> </ul>

## CIPS Socially Responsible Warehousing and Distribution Sample Questions (Q171-Q176):

### NEW QUESTION # 171

Consumers are keen to support businesses that have clear environmental protection policies in place and those that declare their goals publicly.

- A. TRUE
- B. FALSE

**Answer: A**

Explanation:

Consumer behavior has shifted significantly toward favoring businesses with transparent environmental protection policies. Studies referenced in the CIPS L3M6 module indicate that modern consumers, particularly younger generations (e.g., 68% under 40 as per LO1), prefer companies that publicly declare sustainability goals, such as reducing carbon footprints or using eco-friendly materials. This trend drives demand for green procurement and influences supply chain strategies, as businesses seek to enhance their reputation and market share. Public declarations—via reports, certifications, or CDP disclosures—build trust and demonstrate accountability, aligning with CSR principles. For example, a company committing to net-zero emissions by 2050 and showcasing this goal can attract environmentally conscious consumers, making this statement true within the context of LO2's focus on environmental impact.

Reference:

### NEW QUESTION # 172

\_\_\_\_\_ costs of environmental damage caused by logistics include the impact on organizations' profit.

- A. Social
- B. Ecological
- C. Economic

**Answer: C**

Explanation:

Economic costs (C) relate to financial impacts on organizations, such as reduced profits due to environmental damage (e.g., fines, cleanup costs), as per the CIPS L3M6 syllabus. Social costs (A) affect public health and communities, while ecological costs (B) concern ecosystems. Monitoring economic costs is key to CSR, ensuring sustainability doesn't erode profitability.

Reference:

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### NEW QUESTION # 173

Key industries that produce noise pollution... select all that apply.

- A. Construction
- B. Air transport
- C. Road transport
- D. All the above

**Answer: D**

Explanation:

Noise pollution stems from multiple industries, all relevant to supply chains:

\* Construction: Heavy machinery (e.g., pile drivers) generates high-decibel noise, affecting sites and surroundings.

\* Road Transport: Trucks, especially in urban logistics, produce traffic noise (e.g., engine roar, horns).

\* Air Transport: Aircraft takeoffs/landings near airports create significant sound pollution.

The CIPS L3M6 module identifies these as major contributors, linking them to procurement decisions (e.g., choosing quieter vehicles) and site planning to minimize environmental impact, a core LO2 concern. All options apply, reflecting the broad scope of noise sources.

Reference:

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### NEW QUESTION # 174

When designing the layout of a warehouse, which of the following factors should you be considering with size and space required, and how it will be allocated among departments?

- A. Operational selection
- B. Size and dimensions
- C. Equipment selection
- D. Layout details
- E. Warehouse structure

**Answer: B**

Explanation:

Size and dimensions determine the warehouse's capacity and space allocation across departments. The CIPS L3M6 syllabus identifies this as a key layout factor for optimizing storage and workflow, making it the correct answer.

Reference:

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### NEW QUESTION # 175

Effective material handling equipment can enhance the flow of materials, and therefore reduce the total manufacturing time through well-designed material movement.

- A. TRUE
- B. FALSE

**Answer: A**

Explanation:

Effective material handling equipment, such as conveyors, forklifts, and AGVs, streamlines the movement of goods within a warehouse or manufacturing facility. By optimizing the flow of materials, these systems reduce delays, minimize bottlenecks, and shorten the time required to complete manufacturing processes. The CIPS L3M6 syllabus emphasizes that well-designed material movement systems improve operational efficiency, which directly correlates with reduced manufacturing time. This is a key principle in socially responsible warehousing, as it also minimizes energy waste and resource use.

Reference:

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## NEW QUESTION # 176

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