

CFA® SAMPLE QUESTION – LEVEL I

Ethical and Professional Standards

Q: Roberto Vargas, CFA, is in charge of the compliance program at his investment firm. According to the Standards of Practice Handbook, as a supervisor, Vargas is least likely required to:

- a** respond promptly to all violations.
- b** incorporate a professional conduct evaluation as part of an employee's performance review.
- c** disseminate the contents of the program to all personnel.



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