

CFA® SAMPLE QUESTION – LEVEL I

Ethical and Professional Standards

Q: According to the ***Standards of Practice Handbook***, Which of the following activities is least likely to breach a member's duty to a client?

- (a) Failing to vote proxies.
- (b) Failing to establish the investment objectives of the client.
- (c) Using soft dollar arrangements to pay firm management expenses.
- (d) Disclosing confidential client information to the CFA Institute Professional Conduct Program.



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