

# IIA-CFSA<sup>Q&As</sup>

Certified Financial Services Auditor

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**QUESTION 1**

Guaranteed investment contracts are contracts between:

- A. A bank and insurance company
- B. An insurance company and a corporate retirement plan
- C. A retirement plan and a brokerage house
- D. None of these

Correct Answer: B

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**QUESTION 2**

Strategic planning is the process of taking a long-term view of the organization, the longer the view, the greater the uncertainty of risks and opportunities. Such reservations can better be handled by:

- A. Timely decisions
- B. Flexible/ Adaptive plans and processes
- C. Periodic risk assessments
- D. Focusing on current period organizational activity

Correct Answer: B

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**QUESTION 3**

Data gathering and evaluation during field work includes:

- A. Gaining and understanding of the activity, system, or process under review
- B. Observing conditions and operations
- C. Interviewing people and examining assets and accounting, and other operational business, and other operational records.
- D. All of these

Correct Answer: D

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**QUESTION 4**

Reasonable assurance relates to the:

- A. Audit planning process

- B. Scope of the internal audit
- C. End of the audit process
- D. Whole audit process

Correct Answer: D

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## QUESTION 5

In effect to protect customers from unsubstantiated or undocumented losses. NASD has some specific rules. The rules include:

- A. Registered representatives are prohibited from guaranteeing a customer's account against loss or from sharing in the losses or gains in an account.
- B. Private transactions conducted outside the firm are prohibited.
- C. If a firm's stock is publicly traded, employees of the firm may not recommend nor solicit purchases of the firm's stock. However, unsolicited purchases are acceptable.
- D. All of These.

Correct Answer: D

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