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問題集

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Exam: **CTMA**

Title: Certified Transaction
Monitoring Associate

Version: DEMO

1. John has reached out to the client asking for a Formal I.D in the periodic reassessment after an alert caused the KYC file to be refreshed. The client has email back a copy of their drivers licence, Is this acceptable?

- A. Yes
- B. No
- C. Depends

Answer: C

Explanation:

Depends on the Jurisdiction

2. Letters of Credit are a well known _____ Product?

- A. Finance
- B. Credit
- C. Trade Finance
- D. Fixed-Income

Answer: C

3. With regards to data and security, financial institutions must provide? (SELECT 2)

- A. Best Practice
- B. Duty of Care
- C. Optional Choice
- D. Legal Obligation

Answer: B,D

4. For a State Owned Enterprise to be officially a SOE, What are the levels of state involvement are requited

- A. Majority
- B. Full
- C. Half
- D. Significant
- E. Low

Answer: A,B,D

5. When are you allowed to refuse or terminate a relationship with a customer?

- A. Only at the beginning of the investigation.
- B. Only after the client has been onboarded, then the relationship can be terminated.
- C. only after the transaction monitoring has been done but not the KYC.
- D. At anytime during the onboarding process.

Answer: D