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Certified Treasury Professional

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**QUESTION 1**

ABC Company's Treasury department outsourced its overnight investment duties to XYZ Money Management. XYZ placed the funds received from ABC into corporate commercial paper, which has recently gone into default after numerous ratings downgrades. The investment policy of ABC Company states that all investments must be in investment grade commercial paper; however, the agreement gives XYZ the ability to make exceptions with the approval of the Treasurer of ABC Company. The Treasurer was never notified of the ratings downgrades. What role or responsibility, if any, was violated with regards to the investment policy?

- A. Exposure horizon monitoring
- B. Valuation of investment vehicles
- C. Policy approvals and exception management
- D. No violation occurred

Correct Answer: C

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**QUESTION 2**

A U.S. financial institution expects to grow at an exponential rate to become one of the largest companies in the country. It wants to hire the best talent in the industry and is willing to pay excessive compensation. In order to achieve the high growth, it is planning on charging hidden fees on mortgages, credit cards etc. Further, it wants to engage in risky practices pertaining to over-the-counter derivatives, asset-backed securities and hedge funds. The financial institution has hired an outside law firm to determine if it is feasible to escape unwanted regulation and oversight from various government entities. Which of the following regulations prohibits the financial institution from engaging in the described practices?

- A. Gramm-Leach-Bliley Act
- B. The Dodd-Frank Act
- C. Sarbanes-Oxley Act
- D. USA Patriot Act

Correct Answer: B

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**QUESTION 3**

"Fees" in Country Y, which would be considered bribes in the United States, are ingrained in the commercial culture. A U.S. company doing business in Country Y:

- A. may have moral but not legal issues with paying "fees" in Country Y.
- B. is prohibited by U.S. law from paying "fees" in Country Y.
- C. may receive an IRS tax credit for "fees" paid in Country Y.
- D. may pay the "fee" in Country Y but cannot take an IRS tax deduction.

Correct Answer: B

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**QUESTION 4**

The first step in the financial institution and financial services provider (FSP) selection process should be:

- A. selecting a pool of available candidates.
- B. identifying the critical product or service specifications.
- C. establishing a grading mechanism.
- D. evaluating the cost of switching providers.

Correct Answer: B

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**QUESTION 5**

Which agency appoints the chairman and members of the Public Company Accounting Oversight Board?

- A. SEC
- B. NYSE
- C. OCC
- D. IRS

Correct Answer: A

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