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| Instructor: |  |  | Name: |  |
| Results: |  |  | Class: |  |
|  |  |  | Period: |  |
|  |  |  | Date: |  |

Choose the best answer.

1. SEC stands for
   1. Stock Exchange Commission
   2. Securities and Export Commission
   3. Securities and Exchange Commission
2. Public companies must file financial filings with the SEC and they are searchable on the \_\_\_\_\_\_\_\_\_\_\_\_\_ database
   1. ERIC
   2. LOC
   3. STOCK
   4. EDGAR
3. Most public companies have an \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ relations page on their website.
   1. investor
   2. board
   3. public
4. How often does a public company have to file a financial report with the SEC?
   1. Monthly
   2. Quarterly
   3. Bi-annually
   4. annually
5. It is NOT illegal to trade on non-public material information.
   1. true
   2. false
6. Insider sales or purchases for stock must be reported to the\_\_\_\_\_\_\_ ?
   1. ERIC
   2. EDGAR
   3. SEC
   4. OTC
7. When a company wants to sell new securities to investors, it files a registration statement that contains a prospectus?
   1. True
   2. False
8. A section of the investor relations page that reveals the ways a public company protects the rights of shareholders.
   1. Corporate governance
   2. Risk factors
   3. Use of proceeds
   4. Insider information
9. If a company is late filing reports it is not a red flag.
   1. true
   2. false
10. Insider trading can involve those that are not considered insiders of the company, but anyone who trades on insider information; often obtained from friends or family on the inside of a company.
    1. True
    2. False

Answer Key

1. c

2. d

3. a

4. b

5 .b

6. c

7. a

8. a

9. b

10. a