

## 14.E: Assessment Questions

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1. Explain a laissez-faire economic policy.
2. The following are examples of self-regulatory organizations that the SEC oversees:
  - a. The New York Stock Exchange.
  - b. The National Association of Securities Dealers.
  - c. The Chicago Board of Options.
  - d. All of the above.
3. Which types of companies must register with the SEC?
  - a. Companies with over 500 or more owners.
  - b. Companies with total assets of \$10 million.
  - c. Companies with total assets exceeding \$10 million and with 500 or more owners.
  - d. None of the above.
4. Explain Blue Sky laws.
5. Distinguish between primary markets and secondary markets.
6. Define insider trading.
7. All of the following are considered reports required by the Securities Exchange Act of 1934 except:
  - a. Form 8k.
  - b. Form 10 k.
  - c. Form 10Q.
  - d. All of the above.
8. Corporate insiders include officers, directors, and beneficial owners who own \_\_\_\_\_ % of a class of securities registered under Section 12 of the Securities Exchange Act of 1934.
  - a. 5
  - b. 10
  - c. 15
  - d. 20
9. Explain Schedule 13D.
10. What's the purpose of Proxy Statements?

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