

CEU Quiz: published in the **November 2016** issue of *Compliance & Ethics Professional Magazine*

To receive 1.0 non-live Compliance Certification Board (CCB) CEU for the following quiz, at least three questions must be answered correctly. Only the first attempt at each quiz will be accepted.

Compliance & Ethics Professional Magazine quizzes are valid for 12 months, beginning with the first month of issue. **This quiz expires October 31, 2017.**

LEARNING OBJECTIVE

After reading “**Shell companies: The role of beneficial ownership in third-party due diligence**” (page 71), you should be able to answer the following questions:

1. **Which of the following characteristics of a potential subcontractor is most likely to trigger a red flag for an additional due diligence investigation by the parent company?**
 - A. Less than half of the beneficial ownership is held by a designated entity
 - B. The street address is a mailbox drop listed by several online companies
 - C. The subcontractor facilitates joint venture operations in the U.S.
 - D. The subcontractor was incorporated by a law firm in Florida
2. **Which of the following statements is TRUE regarding shell companies?**
 - A. A company that has a compliance program will have little risk exposure from doing business with a shell company
 - B. Evidence that a company has a shell ownership structure is proof that it is engaged in illegal activities
 - C. Gathering information on an in-depth questionnaire is often all that is necessary before doing business with a shell company
 - D. Government officials in developing countries may use shell companies to hide their conflicts of interest and bribes

LEARNING OBJECTIVE

After reading “**How to teach ethics (and still have people like you)**” (page 65), you should be able to answer the following question:

3. **According to the author, feeling nervous or anxious just before you must give a speech or public presentation is a sign that you**
 - A. are worried about facing a tough audience
 - B. care about doing the best job you can
 - C. don't know your material well enough
 - D. have over-practiced the delivery or gestures

LEARNING OBJECTIVE

After reading “**What ethics and compliance professionals can learn from the EEOC**” (page 31), you should be able to answer the following question:

4. **Both the Equal Employment Opportunity Commission and most effective compliance programs agree that to foster a healthy culture, leaders must**
 - A. expect the rank and file to practice what they learned in training
 - B. model day-to-day conduct that reinforces the why and how of rules
 - C. rely on training programs to change employee attitudes and behaviors
 - D. try to avoid being seen or heard when engaged in unethical behavior

Compliance & Ethics Professional Continuing Education Form

For correctly answering SCCE's *Compliance & Ethics Professional* magazine quiz, you will receive 1.0 non-live Compliance Certification Board (CCB) CEU.

Read the articles, and the quiz questions on page one. Mark your answers in the "Quiz Answers" section below. Please fax, email or mail the completed form to:

Compliance Certification Board
6500 Barrie Road, Suite 250
Minneapolis, MN 55435

Fax: +1 952 988 0146 | email: ccb@compliancecertification.org | Phone: +1 952 933 4977 or 888 277 4977

CONTACT INFORMATION

Mr. Mrs. Ms. Dr.

SCCE Member ID

Applicant Name

Place of Employment

Work Street Address

Work City Work State Work Zip

Work Phone Work Fax

Work E-mail

Home Street Address

Home City

Home State Home Zip

Home Phone

QUIZ ANSWERS: NOVEMBER 2016

Article: Shell companies: The role of beneficial ownership in third-party due diligence (page 71)

Please indicate your answers.

1. A B C D
2. A B C D

Article: How to teach ethics (and still have people like you) (page 65)

Please indicate your answer.

3. A B C D

Article: What ethics and compliance professionals can learn from the EEOC (page 31)

Please indicate your answer.

4. A B C D

ATTENDANCE VERIFICATION

By signing below, I certify that I have read the SCCE *Compliance & Ethics Professional* articles that relate to the questions I have answered above. I further certify I will cooperate with the CCB in all administrative functions related to the accreditation of this program and its subsequent recognition as a program fulfilling candidate requirements for CCB certification.

Signature _____ Date _____