CLE Quiz - Panel #1: Insider Trading in Response to Expressive Trading Trading

1. What do the price charts of stocks like GameStop look like?
   A. Space Shuttle
   B. Rollercoaster
   C. Bell curve
   D. Venn diagram

2. Who are typically classified as either investors or speculators?
   A. Securities Traders
   B. Stockbrokers
   C. SEC regulators
   D. Bondholder

3. Multiple hedge funds have ceased to exist, as a result of a what?
   A. Call option
   B. Bull market
   C. Short squeeze
   D. Market crash

4. According to Justice Blackmon, the SEC was less than helpful in its view of the nature necessary to satisfy what duty?
   A. Disclose-or-abstain duty
   B. Disclose-or-refrain duty
   C. Divulge-or-desist duty
   D. None of the above

5. What is an example of a recognized channel of distribution for information to reach the securities marketplace?
   A. Bloomberg
   B. CNN
   C. Fox News
   D. Reuters

6. What kind of attack on a stock relates to whether or not the firm is going to install solar panels?
   A. Broadbased attack
   B. Activist attack
   C. Malware attack
   D. Spyware attack

7. What is material non-public information used to buy shares otherwise known as?
   A. Insider trading
   B. Securities fraud
   C. Stock splitting
   D. Derivative spinoff
8. What kind of trading virtually guarantees that the public also knows that the stock is overvalued?
   A. Market cap weighting
   B. Exchange Traded Funds
   C. Social Media Driven
   D. Portfolio

9. Who profited off of the artificial price spike of Plug Power's share price via the erroneous nature of the financials?
   A. Plug Power’s Chairman
   B. Plug Power’s CEO
   C. Robinhood law students
   D. Members of Congress

10. What rule has trading plans that allows the issuers, and their officers, directors, and other insiders to claim an affirmative defense to insider trading?
    A. 1b5-1
    B. 10b5-1
    C. 11b5-1
    D. None of the above