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## CFA Institute Sustainable Investing Certificate (CFA-SIC) Exam Sample

## Questions (Q369-Q374):

### NEW QUESTION # 369

In most global markets, supervisory boards consist of:

- A. non-executives only.
- B. both executives and non-executives.
- C. executives only.

**Answer: B**

Explanation:

CFA governance materials emphasize that most global markets-including continental Europe, the UK, and many Asian economies-use mixed supervisory boards. These boards combine executive directors (who manage daily operations) with non-executive directors (who oversee management and provide independent oversight), ensuring robust governance and accountability.

### NEW QUESTION # 370

Compared to those of other countries, the UK corporate governance code has a more in-depth focus on:

- A. Board behaviors and corporate culture
- B. Board structure
- C. Voting procedures

**Answer: A**

Explanation:

The UK Corporate Governance Code emphasizes board behaviors and corporate culture, focusing on accountability, ethical leadership, and long-term value creation.

Board structure (A) and voting procedures (B) are important but not the primary emphasis of the UK code.

Reference:

UK Corporate Governance Code (Financial Reporting Council)

OECD Corporate Culture & Governance Report

CFA Institute Board Effectiveness Framework

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### NEW QUESTION # 371

Stock exchanges can contribute to the growth of ESG market by:

- A. increasing the disclosure requirements on ESG data by listed companies.
- B. supporting companies to issue more ESG-oriented bonds.
- C. considering ESG factors when voting on behalf of shareholders at companies' annual general meetings.

**Answer: A**

Explanation:

Stock exchanges can contribute to the growth of the ESG market by increasing the disclosure requirements on ESG data by listed companies. Enhanced disclosure requirements ensure that investors have access to comprehensive and comparable ESG information, which is critical for making informed investment decisions.

This promotes transparency and encourages companies to improve their ESG practices.

Top of Form

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### NEW QUESTION # 372

A materiality assessment to identify ESG issues impacting a company's financial performance is most likely measured in terms of:

- A. both likelihood and magnitude of impact.
- B. magnitude of impact only.
- C. likelihood only.

**Answer: A**

Explanation:

A materiality assessment to identify ESG issues impacting a company's financial performance is most effectively measured in terms of both likelihood and magnitude of impact. This approach provides a comprehensive view of potential risks and opportunities by evaluating how likely an issue is to occur and the extent of its potential impact on financial performance. This dual assessment helps in prioritizing ESG issues that are both probable and significant in their effects.

**NEW QUESTION # 373**

Elements of ESG integration include adjusting:

- A. Financial forecasts only
- B. Valuation multiples only
- **C. Both financial forecasts and valuation multiples**

**Answer: C**

Explanation:

ESG integration requires adjustments to both:

Financial forecasts(e.g., projected cash flows for firms with environmental risks) Valuation multiples(e.g., ESG-driven discount rate adjustments) This holistic approach ensures sustainability risks are fully reflected in investment models.

Reference:

CFA Institute ESG Valuation Adjustments Guide

MSCI ESG Integration Framework

Principles for Responsible Investment (PRI) ESG Integration Report

**NEW QUESTION # 374**

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