

Pass Guaranteed CSI - Pass-Sure CSC2 - Canadian Securities Course Exam2 Exam Actual Questions

Canadian Securities Course (CSC) Exam 2 With complete solution 2024/25

Fundamental Analysis
Accessing short medium and long range prospects of different industries for security prices.
Take into account capital market, the economy, industry, and the individual company conditions to find intrinsic value.
Is it overvalued or undervalued?
Focus on what can effect the dollar value, ex. The expected / actual profitability
Technical Analysis
Use historical prices and their behavior to predict the future.
Make sure to understand the sentiment not the fundamentals. Focus on the market. Investors might act irrational based on those events. Is it recurring or predictable?
- all influences accounted for automatically
- prices will move in trends for a long time
- believes the future will repeat the past
Program Trading/High-Frequency Trading
Sophisticated computerized trading strategies
Random walk Theory
New information is disseminated over time.
Price changes are random.
Past prices are not useful because the company has already adjusted the price for the developments.
Rational Expectations Hypothesis
People are rational and have all the information.
They make smart decisions for self-interest. Past mistakes can be avoided with new information.
Inefficiencies of market theories
New information not available to everyone.
Not everyone reacts the same.
Not all forecasts are accurate.
Investors' psychology or greed could be irrational.
Efficient Market Hypothesis
Stock price is the best estimate of true value.
The profit seeking will react quickly and adjust for intrinsic value.
Stock price fully reflects all available information.
3 Types of Information
1. Weak: past information with current prices
2. Semi-strong: public information in current prices
3. Strong: all information in current prices, no advantages

* strong is. Passive approach, they will buy and hold

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CSI Canadian Securities Course Exam2 Sample Questions (Q159-Q164):

NEW QUESTION # 159

During which step of the financial planning process should an engagement be formalized with a professional service contract?

- A. Recommend strategies to meet goals.
- B. Collect data and information.
- C. Implement recommendations.
- D. Establish the client-advisor relationship.

Answer: D

NEW QUESTION # 160

Which type of sell side equity revenue is earned when a dealer acts in the capacity of an agent in clients trade?

- A. Interest
- B. Commission
- C. Fees
- D. Spreads

Answer: B

Explanation:

In the context of sell-side equity revenue, when a dealer acts as an agent for a client's trade, the revenue is typically earned as a commission. The dealer facilitates the trade between buyers and sellers without taking ownership of the securities, earning fees for providing this service.

- * Commission: Earned when the dealer acts as an agent.
- * Spreads: Earned when the dealer acts as a principal, buying securities at one price and selling at a higher price.
- * Fees: Charged for additional services, such as research or analytics.
- * Interest: Earned from financing activities or margin accounts, not directly tied to trading.
- * A. Fees: Incorrect; fees are typically charged for services, not for acting as an agent.
- * B. Spreads: Incorrect; spreads are earned when the dealer acts as a principal.
- * C. Interest: Incorrect; interest revenue is unrelated to acting as an agent.
- * D. Commission: Correct answer. Acting as an agent involves earning commissions for facilitating trades.

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CSC Volume 2, Chapter 27: The Role of Sell-Side Dealers, which details revenue models in institutional and retail trading.

NEW QUESTION # 161

Omar invests \$5,000 in a labour-sponsored venture capital corporation (LSVCC) in Ontario, his province of residence. What is the total LSVCC tax credit that Omar is eligible to receive from this investment?

- A. \$1,500
- B. \$875
- C. \$750
- D. \$1,625

Answer: C

NEW QUESTION # 162

Where would the description of a company's fixed assets normally be found?

- A. In the annual report
- B. In the statement of financial position.
- C. In the auditor report
- D. **In the notes to the financial statements**

Answer: D

Explanation:

The description of a company's fixed assets, including details about their nature, valuation methods, and depreciation, is typically found in the notes to the financial statements. These notes provide additional context, explanations, and details about the figures presented in the financial statements. The statement of financial position will list fixed assets, but the comprehensive description is found in the notes.

References:

* Volume 1, Chapter 11: Corporations and Their Financial Statements, section on "Notes to the Financial Statements" describes how notes are used to provide critical details about items in the financial statements, including fixed assets.

NEW QUESTION # 163

What is an example of a common feature of robo-advisor services?

- A. Portfolios are built primarily with individual stocks and bonds.
- B. **A telephone call with an advisor verifies that the computer-generated portfolio is suitable for the client.**
- C. The portfolios are rarely rebalanced
- D. The service is exclusively provided to intermediaries such as advisors and employers

Answer: B

Explanation:

Many robo-advisors offer a hybrid model where an automated portfolio recommendation is supplemented by human oversight. A telephone call with an advisor ensures the portfolio generated by the algorithm aligns with the client's risk tolerance and investment objectives. This step helps meet regulatory suitability requirements.

* A. The service is exclusively provided to intermediaries such as advisors and employers: Robo-advisors are directly available to retail clients and are not exclusive to intermediaries.

* B. The portfolios are rarely rebalanced: Robo-advisors typically offer frequent or automatic rebalancing to maintain target asset allocations.

* C. Portfolios are built primarily with individual stocks and bonds: Robo-advisors predominantly use ETFs for diversification and cost-efficiency, not individual securities.

Reference: CSC Volume 1, Chapter 1, "Financial Technology - Robo-Advisors" highlights the hybrid models and regulatory compliance processes employed by robo-advisors

NEW QUESTION # 164

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