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Canadian Securities Course
Chapter 1 - The Canadian Securities Industry

This chapter describes the interrelationships between the various participants in the Canadian securities industry. In particular, the important role of investment dealers and other financial intermediaries play in channeling funds between lenders and borrowers.

Learning Objectives

1. Describe the relationships between major participants in the Canadian securities industry.
 - a. Overview of the Canadian Securities Industry
2. Distinguish among the three categories of investment dealers including how they are organized.
3. Explain the difference between principal and agency transactions.
 - a. Transactional Activity
4. Distinguish among the roles of various financial institutions.
 - a. Financial Intermediaries Other than Investment Dealers
5. Discuss trends affecting the financial services industry in Canada and Globally.
 - a. Financial Market Trends

Key Terms

Agent
Broker
Canadian Investor Protection Fund
CDS Clearing and Depository Services Inc.
Clearing
Closed-end Fund
Consumer Finance Company
Discount Broker
Financial Intermediary
Fintech
Investment
Initial Public Offering
Institutional Public Offering
Institutional Firm
Integrated Firm
Investment Dealer
Investment Fund

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and compiled carefully to ensure that you absolutely can understand it quickly.

CSI Canadian Securities Course Exam 1 Sample Questions (Q93-Q98):

NEW QUESTION # 93

Which regulatory body is responsible for the surveillance of trading and market-related activities of participants on Canadian equity marketplaces?

- A. OBSI
- B. CSA
- C. CIRO
- D. OSFI

Answer: C

Explanation:

The Canadian Investment Regulatory Organization (CIRO) is responsible for overseeing trading and market-related activities of participants on Canadian equity marketplaces. CIRO conducts surveillance to ensure compliance with rules, regulations, and fair market practices.

Other options:

- * OBSI (Ombudsman for Banking Services and Investments): Handles disputes between financial institutions and their clients but does not conduct trading surveillance.
- * OSFI (Office of the Superintendent of Financial Institutions): Regulates and supervises federally regulated financial institutions, focusing on their solvency.
- * CSA (Canadian Securities Administrators): Coordinates securities regulation across Canada but does not directly monitor trading activities.

References:

- * Volume 1, Chapter 3: The Canadian Regulatory Environment, section on "Market Surveillance and Trading Oversight" explains CIRO's role.

NEW QUESTION # 94

KJR made the following warrants offering:

Terms	
Exercise price of warrants	\$30
Market price of 1 warrant	\$5
Market price of 1 KJR Inc. common share	\$32
Number of warrants issued	2 million
Number of common shares outstanding prior to the exercise of any warrants	8 million

What is the intrinsic value of 1 KJR inc. warrant?

- A. \$5
- B. \$0
- C. \$3
- D. \$2

Answer: D

Explanation:

The intrinsic value of a warrant is calculated as the difference between the current market price of the common share and the exercise price of the warrant, provided the market price of the share is higher than the exercise price.

Intrinsic Value = Market Price of Common Share - Exercise Price of Warrant

Intrinsic Value = Market Price of Common Share - Exercise Price of Warrant

Using the values provided:

* Market Price of 1 KJR Inc. Common Share = \$32

* Exercise Price of Warrants = \$30

Intrinsic Value = \$32 - \$30 = \$2

than the exercise price, the intrinsic value is \$2.

Explanation of Incorrect Options:

- * Option A (\$0): This would be correct if the exercise price were greater than or equal to the market price of the common share.
- * Option B (\$5): This incorrectly includes the market price of the warrant (\$5), which is irrelevant to intrinsic value calculation.
- * Option D (\$3): This is not derived from the given data and calculations.

References:

* Canadian Securities Course (CSC), Volume 1, Chapter 8: Equity Securities - Common and Preferred Shares. Discussion on warrants, including intrinsic value calculations.

NEW QUESTION # 95

What is a characteristic of the FTSE Canada Universe Bond index?

- A. It is a capitalization-weighted index.
- B. US dollar bonds from Canadian issuers are included
- C. Only government bonds are included
- D. Only bonds with a term to maturity of 30 days or more are eligible for inclusion.

Answer: A

Explanation:

The FTSE Canada Universe Bond Index is a capitalization-weighted index, meaning that the weights of its components are based on their market value. It includes bonds from various issuers (both government and corporate) with terms to maturity of at least one year.

- * A. US dollar bonds from Canadian issuers are included: Only bonds denominated in Canadian dollars are included.
- * B. Only bonds with a term to maturity of 30 days or more are eligible for inclusion: Bonds must have a minimum term to maturity of one year, not 30 days.
- * D. Only government bonds are included: The index includes both government and corporate bonds.

NEW QUESTION # 96

According to the Bank of Canada, approximately how many months does it take for the effect of changes in monetary policy to be felt through the whole economy?

- A. 0
- B. 1
- C. 2
- D. 3

Answer: B

Explanation:

The Bank of Canada estimates that the effects of changes in monetary policy take approximately 18 months to fully work through the entire economy. This lag exists because monetary policy impacts various sectors, such as consumer spending, business investment, and trade, at different speeds.

- * B. 6 months: This is too short a timeframe for the full effects of monetary policy to materialize.
- * C. 3 months: Immediate impacts may be seen in financial markets, but the broader economic effects require longer.
- * D. 36 months: This is far longer than the typical lag for monetary policy effects.

NEW QUESTION # 97

An emerging Canadian company is exploring the possibility of using geothermal springs to produce clean energy for remote rural communities. The company has strong human resource capital and few assets, and raised \$1 20,000 through the Capital Pool Company program. Which option is best for this company to continue maximizing public exposure and raising capital?

- A. Crowdfunding
- B. Offering a greenshoe option
- C. Filing disclosure documents with SEDAR+.
- D. Escrowing shares

Answer: A

Explanation:

For an emerging company with limited assets and innovative goals, crowdfunding is an excellent option to maximize public exposure and raise capital. Crowdfunding involves soliciting small investments from a large number of people, typically through online platforms, making it ideal for startups or innovative ventures like the use of hot water springs for clean energy.

Other options:

- * Escrow shares: Typically used to restrict the sale of shares for a certain period, not for raising capital.
- * Offering a greenshoe option: Applies to stabilizing stock prices in an IPO or follow-on offering, not raising initial capital.
- * Filing disclosure documents with SEDAR+: Necessary for public companies but does not directly raise capital or increase exposure.

References:

- * Volume 1, Chapter 12: Financing and Listing Securities, section on "Capital Raising Options" covers crowdfunding as a method for startups to raise funds.

NEW QUESTION # 98

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