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CFA Institute Sustainable Investing Certificate (CFA-SIC) Exam Sample Questions (Q389-Q394):

NEW QUESTION # 389

Concerns about the capital structure and financial viability of an investee are most likely reflected in an active investor's voting decisions in relation to:

- A. The auditor's compensation
- B. Share buybacks

- C. The reelection of non-executive board directors

Answer: B

Explanation:

Share buybacks impact a company's capital structure, and investors may vote against excessive buybacks if they weaken financial stability or reduce reinvestment in sustainable growth.

* Auditor compensation (B) and board elections (C) are important but do not directly affect capital structure decisions.

References:

CFA Institute Shareholder Voting & Capital Allocation Guide

MSCI Corporate Governance Reports

Principles for Responsible Investment (PRI) Stewardship Framework

NEW QUESTION # 390

A meat-processing company does not sell its pork products in predominantly Muslim countries. Investing in the company on this basis would be considered an example of:

- A. faith-based investing
- B. considering religion as a social factor.
- **C. norms-based exclusion.**

Answer: C

Explanation:

Excluding investments in companies that sell pork in predominantly Muslim countries falls under norms-based exclusion, as it is guided by religious and cultural norms. (ESGTextBook[PallasCatFin], Chapter 4, Page 192)

NEW QUESTION # 391

According to the consulting firm McKinsey & Company, which of the following is a dimension of sustainable investing applied by fund managers?

- A. Public reporting
- B. Security valuation
- **C. Strategic asset allocation**

Answer: C

Explanation:

Sustainable investing includes integrating ESG factors into strategic asset allocation. This allows managers to align portfolios with long-term sustainability goals while managing ESG risks and opportunities. (ESGTextBook[PallasCatFin], Chapter 8, Page 396)

NEW QUESTION # 392

Which of the following scenarios best illustrates the concept of a 'just' transition?

- A. A region transitioning to solar power subsidizes businesses to install solar arrays
- B. A region transitioning to a smaller public sector workforce funds outplacement programs for displaced office workers
- **C. A region transitioning away from iron ore mining helps displaced miners to work in the safe decommission of abandoned mines**

Answer: C

Explanation:

Concept of a 'Just' Transition:

A 'just' transition refers to the process of shifting to a more sustainable economy in a way that is fair and inclusive, ensuring that the benefits and opportunities of the transition are shared widely while minimizing the negative impacts on workers and communities.

1. Supporting Displaced Workers: A 'just' transition involves providing support and opportunities for workers and communities that are adversely affected by the shift to a more sustainable economy. This includes retraining, reskilling, and ensuring that there are

alternative employment opportunities available.

2. Example of Iron Ore Mining: The scenario where a region transitioning away from iron ore mining helps displaced miners to work in the safe decommission of abandoned mines best illustrates the concept of a 'just' transition. This approach ensures that the affected workers are provided with new employment opportunities that leverage their existing skills while contributing to environmental remediation.

3. Other Scenarios:

Solar Power Subsidies (Option A): While subsidizing solar power installations supports the transition to renewable energy, it does not directly address the needs of displaced workers.

Outplacement Programs for Office Workers (Option B): Funding outplacement programs for displaced public sector workers helps to some extent but does not directly relate to the broader industrial and environmental implications of a 'just' transition.

Reference from CFA ESG Investing:

Just Transition Principles: The CFA Institute emphasizes the importance of a just transition in ensuring that the shift to a sustainable economy is inclusive and equitable. This includes providing support to affected workers and communities.

Case Studies and Examples: The concept of a just transition is illustrated through various case studies and examples where regions and industries have successfully managed the social and economic impacts of transitioning to more sustainable practices.

In conclusion, a region transitioning away from iron ore mining helping displaced miners to work in the safe decommission of abandoned mines best illustrates the concept of a 'just' transition, making option C the verified answer.

NEW QUESTION # 393

Using the "shades of green" methodology developed by the Center for International Climate Research (CICERO), a project that does not explicitly contribute to the transition to a low carbon and climate resilient future is given the shading of

- A. yellow
- B. light green
- C. red

Answer: C

Explanation:

Using the "shades of green" methodology developed by the Center for International Climate Research (CICERO), a project that does not explicitly contribute to the transition to a low carbon and climate resilient future is given the shading of red.

Red (A): In the CICERO "shades of green" methodology, projects that do not contribute to climate goals and may even counteract them are given a red shading. This indicates that the project is not aligned with the transition to a low-carbon and climate-resilient future.

Yellow (B): Yellow is used for projects with some positive environmental impacts but with certain risks or uncertainties about their overall contribution to climate goals.

Light green (C): Light green is used for projects that contribute to climate goals but are not fully aligned with a long-term vision for a low-carbon and climate-resilient future.

Reference:

CFA ESG Investing Principles

CICERO "Shades of Green" methodology documentation

NEW QUESTION # 394

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