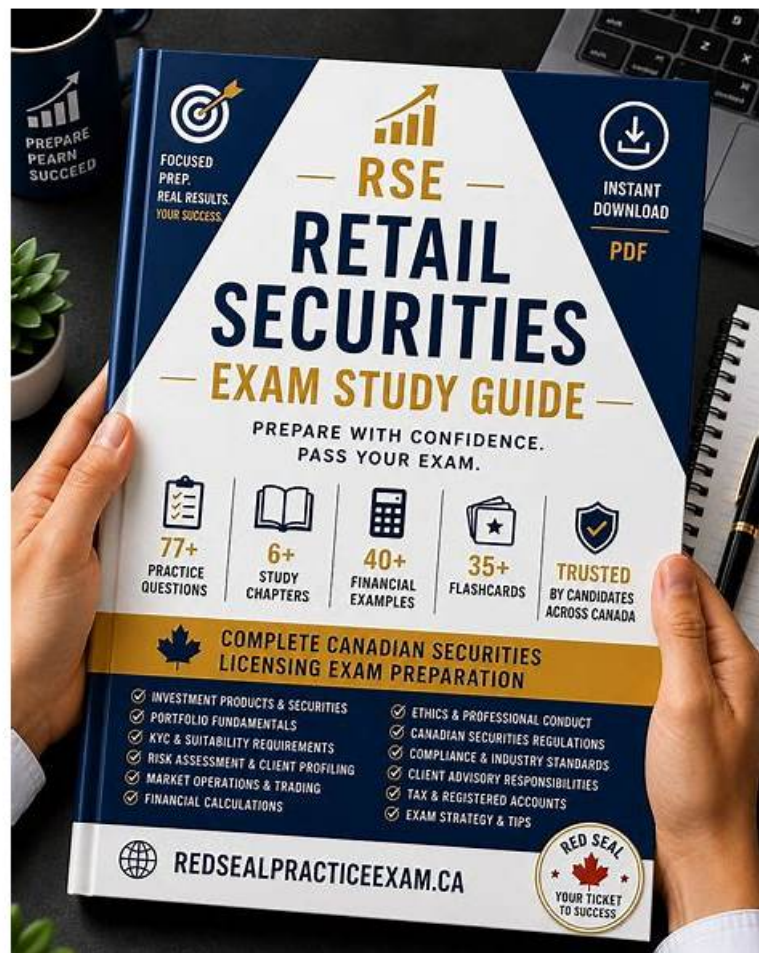


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CIRO RSE Exam Syllabus Topics:

Section	Weight	Objectives
Equities	Approximately 10%	- Equity markets - Valuation concepts - Common and preferred shares - Exchange-traded funds (ETFs)
Managed Products and Other Investments	Approximately 13.3%	- Structured products - Mutual funds - Alternative investments
Investment Recommendations	Approximately 11.7%	- Recommendation development - Client communication - Product selection
Fixed Income	Approximately 8.3%	- Interest rate risk - Yield and pricing - Government and corporate bonds - Credit risk

Securities Analysis	Approximately 11.7%	- Fundamental analysis - Technical analysis - Financial statement interpretation
Portfolio Construction	Approximately 10.8%	- Asset allocation - Portfolio risk management - Diversification
Execution and Market Integrity	Approximately 5.8%	- Best execution - Order handling - Market integrity rules - Regulatory obligations - Know-Your-Product (KYP)
Know-Your-Client (KYC) and Suitability	Approximately 22.5%	- Suitability assessment - Investment objectives and risk tolerance - Client profile collection and maintenance - Performance reporting
Monitoring, Reporting and Maintaining Client Relationships	Approximately 5.8%	- Client relationship management - Ongoing suitability review - Account monitoring

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CIRO Retail Securities Exam Sample Questions (Q118-Q123):

NEW QUESTION # 118

A portfolio earns 11%. The risk-free rate is 3%, the market return is 8%, and the portfolio beta is 1.2. What is the portfolio's Jensen alpha?

- A. 5%
- B. #2%
- C. 0%
- D. 2%

Answer: D

Explanation:

Jensen alpha compares the portfolio's actual return with the return predicted by the Capital Asset Pricing Model for its level of systematic risk.

First calculate the CAPM expected return:

Expected return = Risk-free rate + Beta × (Market return # Risk-free rate) Expected return = 3% + 1.2 × (8% # 3%) Expected return = 3% + 1.2 × 5% Expected return = 9% Jensen alpha is:

Actual return # Expected return = 11% # 9% = 2%

Option C is correct.

A positive alpha indicates that the portfolio outperformed the CAPM-predicted return by two percentage points during the measurement period. A negative alpha would indicate underperformance after adjusting for beta. This does not prove persistent management skill. The result may reflect security selection, temporary factor exposures, luck, benchmark limitations or estimation error.

Jensen alpha should be assessed over an appropriate period and alongside fees, taxes, portfolio mandate and other risk measures. Beta captures systematic market sensitivity but does not measure all possible sources of risk.

The CIRO syllabus expressly requires candidates to calculate and interpret Jensen, Sharpe and Treynor risk-adjusted returns and evaluate portfolio performance against appropriate benchmarks.

NEW QUESTION # 119

What is the primary responsibility of an Investment Dealer when considering whether to allow a client to trade on margin?

- A. To limit the client's trading activity to avoid unnecessary risk associated with trading on margin
- B. To certify that the client has sufficient funds to cover any potential losses from trading on margin
- C. To ensure that the client is aware of the risks and benefits associated with trading on margin
- D. To provide margin loans at the Investment Dealer's lowest interest rates to capitalize on the leverage

Answer: C

Explanation:

Option C states the express regulatory requirement. Under CRO IDPC Rule 3246, when deciding whether to permit a client to trade on margin, the Investment Dealer must ensure that the client understands the associated risks and benefits. Margin magnifies exposure because the client uses borrowed funds to acquire securities. Losses may exceed the client's initial contribution, interest is charged on the debit balance, and the dealer may liquidate assets when required margin is not maintained.

The dealer must also deliver a margin account agreement and obtain the client's signature before opening the account. That agreement explains the client's repayment and margin-maintenance obligations and the dealer's rights concerning collateral and liquidation.

Option A is too broad because margin trading is not automatically prohibited or arbitrarily limited; it must be administered under the account agreement, suitability framework and margin requirements. Option B incorrectly treats obtaining the lowest possible borrowing rate as the dealer's principal regulatory duty.

Option D imposes an impossible standard: the dealer cannot certify that a client will always possess sufficient funds to absorb every possible market loss.

The official Retail Securities syllabus covers cash and margin accounts, special margin situations and specialized trading authorizations.

NEW QUESTION # 120

A client wants to buy a recreational vehicle costing \$25,000 in 3 years. They plan to make deposits of \$630 at the start of each month into an investment account. What approximate annualised return is required to achieve their goal?

- A. 10%
- B. 4%
- C. 8%
- D. 6%

Answer: D

Explanation:

Because each \$630 deposit is made at the start of the month, the cash-flow pattern is an annuity due. There will be 36 deposits over three years. The future-value relationship is:

$$\$25,000 = \$630 \times [((1 + r)^{36} - 1) \div r] \times (1 + r)$$

Solving for the monthly return produces approximately 0.52% per month. The nominal annualised rate is approximately:

$$0.52\% \times 12 = 6.24\%$$

The corresponding effective annual return is approximately 6.42%. Both calculations are closest to 6%, making option C correct.

Without investment growth, the client would contribute only:

$$\$630 \times 36 = \$22,680$$

The investment therefore needs to generate approximately \$2,320 of additional value. Because deposits occur at the beginning rather than the end of each month, every contribution earns one additional month of return compared with an ordinary annuity. Treating the deposits as year-end or month-end payments would produce an inaccurate required rate.

The Retail Securities syllabus specifically requires the application of time-value-of-money calculations to determine the regular investment needed to meet a known future financial objective or liability.

NEW QUESTION # 121

Which managed product allows investors to gain intraday diversified exposure with active or passive management?

- A. Mutual funds
- B. Pooled funds
- C. Income trusts
- D. Exchange-traded funds (ETFs)

Answer: D

Explanation:

Exchange-traded funds provide investors with exposure to a portfolio of securities through units that trade on a marketplace throughout the trading day. An ETF can hold a diversified portfolio covering an index, asset class, sector, geographic region, fixed-income category or active investment mandate. ETFs can therefore use either passive management, such as tracking an index, or active management in which the portfolio manager selects and adjusts holdings. Option C is correct.

Traditional mutual funds are also managed and diversified, but purchases and redemptions are normally processed using the fund's calculated net asset value rather than continuously negotiated intraday exchange prices. Pooled funds are generally available to specified investor groups and are not ordinarily traded intraday on public exchanges. Income trusts may be exchange-listed, but an individual income trust represents an interest in a particular operating business, real-estate portfolio or income-producing structure and does not inherently provide diversified managed exposure.

An ETF's market price is determined by exchange trading and may temporarily differ from its net asset value.

Investors must therefore consider bid-ask spreads, liquidity, fees, tracking differences and the fund's underlying strategy. CIRO's syllabus specifically covers ETF access, creation, market price versus NAV, active and passive management, leverage, diversification and cost structures.

NEW QUESTION # 122

How are cash flows from investing activities typically classified in the statement of cash flows?

- A. They indicate the company's debt servicing
- B. They include cash transactions from core operations
- C. They indicate the issuance of new shares or bonds
- **D. They include purchases and sales of long-term assets**

Answer: D

Explanation:

Investing activities report cash used to acquire, or received from disposing of, long-term assets and investments. Typical examples include purchases and sales of property, equipment, long-term investments and other productive assets. Option B therefore describes the investing section correctly.

The issuance of shares or bonds in option A belongs principally to financing activities because it concerns obtaining capital from shareholders or creditors. Cash transactions arising from the company's ordinary revenue-producing operations, such as receipts from customers and payments to suppliers, belong to operating activities, eliminating option C. Debt servicing may involve different classifications depending on the specific payment and applicable accounting policy, but borrowing, repaying principal and raising debt capital are generally associated with financing rather than the acquisition or disposal of long-term assets.

The distinction is analytically important. Substantial investing outflows may indicate expansion through capital expenditure or acquisitions, whereas investing inflows may result from asset disposals. These movements must be interpreted together with operating cash generation and financing requirements. The official Retail Securities syllabus specifically requires candidates to understand the statement of cash flows and distinguish cash flows from operating, investing and financing activities.

NEW QUESTION # 123

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