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CSI Canadian Securities Course Exam2 Sample Questions (Q178-Q183):

NEW QUESTION # 178

Which investor right must be disclosed in a Fund Fact document?

- A. Investors have the right to rescind the purchase if there is misrepresentation in the document.
- B. Investors have the right to act or claim damages without any limitation.
- C. Investors have a right to withdrawal from their purchase within 24 hours after confirmation of the purchase is received.
- D. Investors can request a paper copy of the simplified prospectus for a small charge.

Answer: A

Explanation:

The Fund Facts document is a regulatory disclosure document provided to mutual fund investors in Canada. It aims to provide clear, concise, and relevant information about the fund. One critical investor right disclosed in this document is the right to rescind their purchase if there is any misrepresentation in the document. This ensures transparency and legal protection for investors.

* Explanation of Options:

- * A. Rescission Due to Misrepresentation: Correct. If the document contains false or misleading statements, investors can rescind the purchase under securities laws.
- * B. 24-Hour Withdrawal Right: Incorrect. This is not a standard right for mutual fund purchases; the withdrawal right period is generally within two business days after receiving the trade confirmation.
- * C. Requesting a Simplified Prospectus: While investors can request this document, the Fund Facts specifically focuses on investor rights related to rescission and misrepresentation.
- * D. Claiming Damages Without Limitation: Incorrect. Claims for damages are subject to limitations under securities law and are not unrestricted.

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CSC Volume 2, Chapter 17: Fund Facts and regulatory disclosures.

NEW QUESTION # 179

What obligation does an IA have when communicating information about a preliminary prospectus to prospective investors?

- A. The IA must make a tombstone advertisement.
- B. The IA must record the names addresses of those who have requested and received a preliminary prospectus
- C. The IA must provide a greensheet
- D. The IA must ensure 3 proxy is mailed to the investors to vote for approval or disapproval of the offering.

Answer: B

Explanation:

Investment advisors (IAs) are required to record the names and addresses of all individuals who have requested and received a preliminary prospectus. This ensures compliance with securities regulations and provides a record for follow-ups and potential disclosures related to the offering.

- * A. The IA must ensure a proxy is mailed: Proxy voting is related to shareholder meetings, not the prospectus distribution.
- * B. The IA must provide a greensheet: A greensheet is used internally by investment firms, not distributed to clients.
- * C. The IA must make a tombstone advertisement: Tombstone advertisements are created by the issuer, not the IA.

NEW QUESTION # 180

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

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

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 # 181

Which type of commodity ETF is most suitable for an investor seeking to gain exposure to the spot price of a commodity?

- A. Physical-based
- B. Swap-based
- C. Futures-based.
- D. Equity-based

Answer: A

Explanation:

Commodity Exchange-Traded Funds (ETFs) provide investors with exposure to commodities such as gold, oil, and agricultural products. The most suitable type of commodity ETF for gaining exposure to the spot price of a commodity is the Physical-based ETF because it involves direct ownership or storage of the commodity. For instance, gold ETFs backed by physical gold store bullion in vaults.

1. Physical-based ETFs These ETFs hold the actual commodity in physical form, which ensures a close tracking of the spot price. Physical gold ETFs, for example, store gold bars and adjust the NAV (Net Asset Value) based on the current spot price. This eliminates discrepancies caused by futures contracts or swaps, making them ideal for tracking spot prices.
2. Swap-based ETFs These rely on derivative agreements (swaps) to replicate the price movements of a commodity. While cost-effective, they do not hold the actual commodity, and their performance may slightly deviate from the spot price due to tracking errors or counterparty risks.
3. Futures-based ETFs These use futures contracts to gain exposure. However, futures contracts come with complexities such as contango and backwardation, which can cause performance differences from the spot price over time.
4. Equity-based ETFs These invest in shares of companies involved in the commodity sector (e.g., mining or energy companies). Their performance is influenced by company-specific factors and broader equity market trends, making them unsuitable for tracking spot prices.

References from CSC Study Documents:

- * Exchange-Traded Funds, Chapter 19, Volume 2: Discusses the characteristics and structure of ETFs, including commodity-based ETFs and their classification.
- * Risks related to tracking error and direct ownership of assets are highlighted under ETF types in Section 19.

NEW QUESTION # 182

Which one is a unique feature of mutual funds or ETFs?

- A. They refuse pre-authorized contributions and systematic withdrawal plans.
- B. They offer an automatic rebalancing without the costs of trading the ETF.
- C. They have a higher MER than traditional mutual funds.
- D. Their asset mix must be held consistent.

Answer: B

NEW QUESTION # 183

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