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CSI Canadian Securities Course Exam2 Sample Questions (Q144-Q149):

NEW QUESTION # 144

Which is a typical feature of investing in a listed private equity company?

- A. Ability to act on legitimate insider information.
- B. Controls and limits on private equity management to protect existing investors.
- C. Access to a wide range of skills and large number of personnel.
- D. Average levels of liquidity.

Answer: C

Explanation:

Investing in a listed private equity company offers the benefit of access to a broad array of skills and a large talent pool. Unlike traditional private equity investments, these entities are publicly traded and often operate with extensive resources and expertise to evaluate and manage investment opportunities.

* Key Features of Listed Private Equity Companies

* They provide liquidity compared to traditional private equity, as shares can be traded on public exchanges.

* They leverage a diverse team of analysts, strategists, and operational experts to identify and optimize investment opportunities.

* Evaluating Other Options:

* Average levels of liquidity (A): Listed private equity companies are considered to have higher liquidity relative to traditional private equity funds.

* Controls and Limits (C): These companies may not necessarily impose stricter controls than traditional private equity.

* Ability to act on legitimate insider information (D): Insider trading is strictly regulated and prohibited by law.

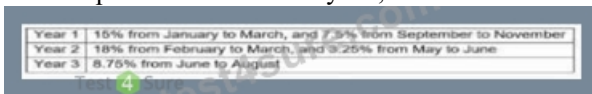
* Risk and Return Trade-Off: While providing advantages like transparency and liquidity, listed private equity investments may be subject to market volatility akin to other publicly traded equities.

References: Volume 2, Chapter 22: Alternative Investments - Section on Listed Private Equity.

Volume 2, Chapter 20: Investment Structures and Risks - Private Equity Analysis.

NEW QUESTION # 145

Over the previous three calendar years, fund LMO had five drawdowns as follows:



Year 1	15% from January to March, and 7.5% from September to November
Year 2	18% from February to March, and 25% from May to June
Year 3	8.75% from June to August

What was the maximum drawdown during this time period?

- A. 52.50%
- **B. 18.00%**
- C. 21.25%
- D. 22.50%

Answer: B

NEW QUESTION # 146

What constitutes the process for monitoring a portfolio?

- A. Assessing changes in a client's goals and setting a strategic asset allocation.
- B. Evaluating portfolio performance and confirming the stage of the economic cycle.
- **C. Assessing market shifts and staying informed of changes in a client's goals.**
- D. Reviewing the industry trends and evaluating portfolio performance.

Answer: C

NEW QUESTION # 147

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. Fees
- C. Interest
- **D. Commission**

Answer: D

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.

Types of Revenue in Sell-Side Trading: Explanation of Options: References:

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

NEW QUESTION # 148

Jenny contributed \$5,000 each year for five years to a spousal RRSP in Albert's name. In the calendar year immediately following Jenny's last contribution, Albert withdrew \$25,000 from the RRSP. What are the tax implications of the withdrawal for Albert and Jenny?

- A. Albert includes \$10,000 in his taxable income and Jenny includes \$15,000 in her taxable income.
- B. No effect on Jenny's taxable income and Albert includes \$25,000 in his taxable income.
- C. Jenny includes \$25,000 in her taxable income and Albert includes \$0 in his taxable income.
- D. Jenny includes \$10,000 in her taxable income and Albert includes \$15,000 in his taxable income.

Answer: A

NEW QUESTION # 149

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