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## CSI Canadian Securities Course Exam2 Sample Questions (Q50-Q55):

### NEW QUESTION # 50

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

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

**Answer: A**

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 # 51

What action must an investment advisor take when submitting a trade ticket for a short sale?

- A. Mark the sell-order ticket as a short sale
- B. Obtain minimum margin amount from client
- C. Verify the client can borrow the shares.
- D. Mark it as a margin order

**Answer: A**

Explanation:

When submitting a trade ticket for a short sale, an investment advisor must mark the sell-order ticket as a short sale. This ensures compliance with regulatory requirements and informs the broker and exchange that the sale involves borrowed shares. Marking the order appropriately helps maintain transparency and enables monitoring for potential market manipulation.

\* A. Verify the client can borrow the shares: The responsibility for ensuring share availability lies with the broker, not the advisor.

\* C. Obtain minimum margin amount from client: This is done separately as part of the account setup and transaction process, not when submitting the trade ticket.

\* D. Mark it as a margin order: Short sales involve margin, but the ticket must specifically indicate "short sale" rather than just "margin." Reference: CSC Volume 1, Chapter 9, "Short Selling - Trade Requirements" details the process and importance of marking short-sale tickets.

### NEW QUESTION # 52

What is the normal shape of a yield curve?

- A. Downward slope
- B. inverted
- C. Humped
- D. Upward slope

**Answer: D**

Explanation:

The normal shape of a yield curve is an upward slope, indicating that longer-term bonds offer higher yields than shorter-term bonds. This reflects the additional risk and time value of money associated with longer maturities.

\* A. Downward slope: This could describe a yield curve during unusual circumstances, such as a period of market uncertainty or deflation.

\* B. Inverted: An inverted yield curve, where shorter-term yields exceed longer-term yields, is a rare occurrence and often signals economic recession.

\* D. Humped: A humped curve is rare and occurs when intermediate-term yields exceed both short-term and long-term yields.

Reference:CSC Volume 1, Chapter 7, "The Yield Curve - Normal Shape" discusses the upward-sloping yield curve as the standard in normal market conditions.

### NEW QUESTION # 53

What types of product would be immune to the effects to tracking error?

- A. Exchanged-traded funds.
- **B. Exchange-traded notes**
- C. Segregated funds
- D. Mutual funds.

**Answer: B**

Explanation:

Exchange-traded notes (ETNs) are debt instruments issued by financial institutions that provide returns linked to a specified index or benchmark. Unlike exchange-traded funds (ETFs) or mutual funds, ETNs do not hold assets like stocks or bonds. Instead, they rely on the issuer's creditworthiness. Tracking error occurs when the performance of an investment fund deviates from its benchmark index due to operational factors like fees, rebalancing, or dividend treatment. Since ETNs directly track the performance of the underlying index through a structured debt instrument, they are immune to the operational causes of tracking error.

\* References:

\* CSC Volume 2, Chapter 23: Structured Products - Types and Features.

\* CSC Volume 2, Chapter 19: Exchange-Traded Funds - Tracking Error Risks and Benefits.

### NEW QUESTION # 54

Yusef is a high-net-worth individual who wants to diversify his portfolio with private equity but is concerned with the potential disadvantages of this asset class. What disadvantage should Yusef be considering as a potential private equity investor?

- A. Private equity companies are not listed on stock exchanges
- **B. Private equity is a high-risk investment**
- C. Private equity typically provides lower long-term returns than other asset classes
- D. Private equity excludes investment from private debt

**Answer: B**

### NEW QUESTION # 55

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