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## Quiz 2026 Professional CSC2: Training Canadian Securities Course Exam2 Pdf

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### CSI Canadian Securities Course Exam2 Sample Questions (Q85-Q90):

#### NEW QUESTION # 85

A financial institution is selling their pooled mortgages to a Special Purpose Vehicle. What process are they engaging in?

- A. Share splitting.
- **B. Asset securitization.**
- C. Credit spread arbitrage.
- D. Merger strategy.

**Answer: B**

#### NEW QUESTION # 86

What information is an investor unable to retrieve through the SEDAR+ website?

- A. Annual information form.
- B. Annual report.
- C. Registration information for dealers.
- D. Interim financial statements.

**Answer: C**

#### NEW QUESTION # 87

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

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

**Answer: A**

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 # 88

Supriya, an advisor, receives a research service from a dealer in exchange for placing securities transactions with that dealer. What statement best applies to this type of arrangement?

- A. This arrangement is permissible if it benefits Supriya's firm.
- B. This arrangement violates best execution requirements.
- C. This arrangement can only be used for equity transactions.
- D. This arrangement needs to be disclosed to Supriya's clients.

**Answer: D**

#### NEW QUESTION # 89

When acting as a principal, how do investment dealers generate revenue?

- A. Thrown tracers.
- B. Through commissions
- C. Through brokerage changes.
- D. Through spreads on buy/sell prices.

**Answer: D**

Explanation:

When acting as a principal, investment dealers buy and sell securities for their own account. They generate revenue by earning spread, which is the difference between the price at which they buy securities (bid price) and the price at which they sell them (ask

price). This is distinct from their role as an agent, where revenue is earned through commissions on trades executed on behalf of clients.

\* A. Through commissions: Commissions are earned when acting as an agent, not as a principal.

\* B. Through tracers: This term does not apply to revenue generation.

\* C. Through brokerage charges: Brokerage charges relate to fees imposed on client accounts, not principal trading spreads.

## NEW QUESTION # 90

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