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CIRO CIRE Exam Syllabus Topics:

Section	Weight	Objectives
Client Complaint Handling and Reporting	~5%	- Escalation, Recordkeeping and Reporting - Complaint Management Framework
Overview of Regulatory Framework	~10%	- Securities Legislation and Regulators (CSA, CIRO, FINTRAC) - Market Infrastructure and Protection Funds
Securities and Managed Products	~19%	- Fund Structures and Product Characteristics - Equities, Fixed-Income and Managed Products
Market Integrity, Trade Execution and Settlement	~12%	- Order Types, Execution and Settlement Processes - UMIR and Market Integrity Rules
Conflicts of Interest and Ethics	~14–15%	- Conflict Identification, Disclosure and Management - Client-Focused Reforms and Ethical Standards
Derivatives Fundamentals	~5–8%	- Options, Futures and Forwards Basics - Risk and Suitability for Derivatives
Market and Company Analysis	~8%	- Fundamental and Technical Analysis - Investment Performance Benchmarks
Prospective Client Relationships	~10%	- Relationship Discovery and Qualification - Know Your Prospect (KYP) and Disclosures
Scope of Client Relationship, KYC and Suitability	~15–18%	- Suitability Assessment and Obligations - Know Your Client (KYC) Requirements

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CIRO Canadian Investment Regulatory Exam Sample Questions (Q82-Q87):

NEW QUESTION # 82
A client calls their Investment Dealer to cancel an order to purchase 1,000 shares of a stock. However, the order has already been executed. What is the Investment Dealer's most appropriate action in this situation?

- A. The dealer should cancel the order as per the client's request, regardless of the execution status
- B. The dealer should try to reverse the trade as soon as possible by executing a new opposing trade
- C. The dealer should inform the client that the order has already been executed and that it cannot be undone
- D. The dealer should inform the client they need to file a request with the exchange to cancel order

Answer: C

Explanation:
The correct answer is A . A client may cancel or modify an outstanding order only before execution, subject to whether the cancellation reaches the marketplace in time. Once the order has been executed, however, it has become a completed trade rather than an open order. The Dealer should therefore inform the client promptly that the purchase has already occurred and cannot simply be withdrawn on the client's subsequent instruction.
The CIRE syllabus explicitly requires candidates to understand "processes for handling order variations, cancellations and corrections." Importantly, cancellation of an executed marketplace trade is a different regulatory process. UMIR 7.11 governs post-execution trade cancellations and variations; they may occur only under prescribed market-regulatory circumstances and procedures, not merely because a client changed their mind after execution.
B is inappropriate because an opposing sale would be a new transaction , potentially at a different price and with additional costs and market risk; it should not be undertaken automatically without proper client authorization. C ignores the fact that execution has already occurred. D incorrectly suggests that an ordinary client can simply request the exchange to reverse a valid completed trade.
Study Guide Reference: CIRE Elements 6.5-6.8 - order entry, execution, cancellations, corrections and confirmations; UMIR 7.11.

NEW QUESTION # 83
An investment advisor is discussing the risks of investing in crypto assets with a client. Which of the following is a typical feature of crypto assets?

- A. The heavy regulatory burden leads to high associated costs
- B. They are intangible so have no opportunity for long term gain
- C. Their value can be highly volatile, subject to market speculation
- D. They are prone to sudden increases in supply diluting the price

Answer: C

Explanation:
The correct answer is C . A defining investment risk of many crypto assets is extreme price volatility , often driven substantially by market sentiment, speculative demand, liquidity conditions and rapidly changing expectations rather than conventional valuation measures such as corporate earnings or cash flows. CIRO states that crypto assets are high-risk investments because their values may "rise and fall suddenly and significantly" and that such movements can be difficult to predict.
CSA investor guidance similarly explains that crypto-asset prices may be driven primarily or even solely by speculative demand and prevailing supply-and-demand conditions. A collapse in demand can therefore lead to substantial or complete investment losses.
A is not a universal crypto characteristic because supply mechanisms differ significantly between crypto assets; some have capped supply while others do not. B is incorrect because being intangible does not prevent an asset from appreciating over time. D is also incorrect: regulatory requirements continue to evolve, and some crypto markets or platforms may actually present risks because of insufficient regulation or regulatory compliance , rather than excessive regulation.
The CIRE syllabus expressly requires candidates to understand the types, features, risks, returns, advantages, disadvantages, costs and disclosure requirements of crypto assets .
Study Guide Reference: CIRE Element 7.12 - Crypto Assets and Other Investments.

NEW QUESTION # 84
If reasonably foreseeable material conflicts of interest cannot be avoided, an Investment Dealer must ensure which of the following?

- A. Address in the best interest of the client with no disclosure requirement
- B. Address in the best interest of the client and disclose during an annual review
- C. Present options to the client before any action is taken
- D. Address in the best interest of the client and disclose in a timely manner

Answer: D

Explanation:
The correct answer is C . CIRO's conflict-of-interest framework requires material conflicts to be identified and addressed in the best interest of the client . Where a conflict is not avoided but can appropriately be controlled, the Investment Dealer must apply effective measures to address the conflict and provide the required disclosure to affected clients. IDPC Rule 3112 requires Dealers to address material conflicts in the client's best interest. Rule 3113 further requires written disclosure where a reasonable client would expect to be informed.
Timing is critical. Rule 3113 requires a conflict identified after account opening to be disclosed "in a timely manner" upon identification where it has not previously been disclosed. Waiting until an annual review, as D suggests, would therefore not satisfy the prescribed timing standard.
B is incorrect because conflict disclosure remains required in circumstances where a reasonable client would expect disclosure; moreover, disclosure alone does not satisfy the duty to address the conflict. A is incomplete because merely giving the client choices does not discharge the Dealer's regulatory obligation.
A technical distinction is important: if a material conflict cannot be addressed in the client's best interest at all , CIRO requires the Dealer to avoid it. Where the relationship or activity proceeds because effective controls are possible, best-interest management plus timely disclosure is required.
Study Guide Reference: CIRE Elements 9.1-9.2 - identification, avoidance, management and disclosure of conflicts; IDPC Rules 3110-3113.

NEW QUESTION # 85
In Canada, what framework is primarily used to group industries based on similar business activities?

- A. North American Industry Classification System (NAICS)
- B. Standard Industrial Classification (SIC)
- C. International Standard Industrial Classification (ISIC)
- D. Harmonized System (HS)

Answer: A

Explanation:
The correct answer is D . Canada primarily uses the North American Industry Classification System (NAICS) to classify establishments and economic activities into industries. NAICS was developed jointly by the statistical agencies of Canada, the United States and Mexico to provide a common framework for analysing the industrial structure of the three economies. Statistics Canada describes NAICS as a comprehensive industry-classification system based principally on supply-side or production-oriented concepts .
Under NAICS, producing establishments are grouped into industries according to similarities in their production processes, including characteristics such as input structures, labour skills and production technologies. This allows economic analysts and investors to compare industry output, employment, productivity, costs and other performance indicators consistently.
A, the Harmonized System, primarily classifies internationally traded goods , rather than industries. B, ISIC, is an international United Nations industry-classification framework, but it is not Canada's principal domestic North American classification system. C refers to the older Standard Industrial Classification framework, which NAICS largely replaced for Canadian statistical purposes.
This distinction is relevant to securities analysis because analysts frequently compare companies with other businesses in the same sector or industry when assessing competitive position, valuation and business-cycle sensitivity.
The CIRE syllabus specifically requires knowledge of sources and use of information regarding industry classifications and valuations .
Study Guide Reference: CIRE Element 5.5 - Industry Performance and Industry Classifications; Statistics Canada NAICS framework.

NEW QUESTION # 86
Which of the following best defines a retail client under CIRO rules?

- A. An entity registered under securities law as a regulated dealer
- B. A client that must meet strict regulatory criteria to qualify as an investor
- C. A government-regulated institution with waived know-your-client (KYC) requirements
- D. An entity that requires full compliance with suitability and disclosure obligations

Answer: D

Explanation:
The best answer among the choices is B . The precise CIRO definition is even simpler: IDPC Rule 1201 defines a "retail client" as "A client that is not an institutional client." Retail clients therefore receive the more comprehensive regulatory protections associated with the retail-client framework, including detailed KYC requirements, relationship disclosure and, for accounts subject to suitability, client-first suitability determinations. IDPC Rule 3402 requires retail suitability determinations to consider KYC information, product knowledge, concentration and liquidity, costs and reasonable alternatives, while putting the client's interest first.
B is therefore the intended examination answer because it most accurately reflects the regulatory treatment of a retail client. Technically, account-specific exemptions can apply-for example, order-execution-only accounts are exempt from transaction-level suitability-so "full compliance" should be understood as the retail regulatory regime subject to applicable CIRO exemptions.
A describes a category that can qualify as an institutional client , not a retail client. C similarly points toward regulated institutional entities and incorrectly suggests a general KYC waiver. D confuses retail-client status with eligibility tests such as the accredited investor criteria used for certain prospectus-exempt distributions.
The CIRE syllabus specifically requires candidates to distinguish retail clients from institutional clients and lists the criteria for institutional-client status.
Study Guide Reference: CIRE Elements 2.2-2.6 - institutional-client qualification, retail/institutional distinction and retail KYC; IDPC Rules 1201 and 3402.

NEW QUESTION # 87
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