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## CSC CANADIAN SECURITIES COURSE EXAM NEWEST 2024- 2025 ACTUAL EXAM COMPLETE 321 QUESTIONS AND CORRECT DETAILED ANSWERS (VERIFIED ANSWERS)

### Terms in this set (321)

Agent	An investment dealer operates as an agent when it acts on behalf of a buyer or a seller of a security and does not itself own title to the securities at any time during the transactions.
Broker	An investment dealer or a duly registered individual that is registered to trade in securities in the capacity of an agent or principal and is a member of a self-regulatory organization.
CDS Clearing and Depository Services Inc.	CDS provides customers with physical and electronic facilities to deposit and withdraw depository-eligible securities and manage their related ledger positions (securities accounts). CDS also provides electronic clearing services both domestically and internationally, allowing customers to report, confirm and settle securities trade transactions.
Clearing	The process of confirming and matching security trade details.
Closed-end fund	Shares in closed-end investment companies are readily transferable in the open market and are bought and sold like other shares. Capitalization is fixed.

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### CSI CSC2 Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"><li>The Corporation: This section of the exam measures the skills of a Corporate Finance Analyst and covers corporate structures, financial statements, disclosure requirements, investor rights, financing methods, capital raising processes, prospectus requirements, securities distribution, and exchange listing procedures for corporations.</li></ul>

Topic 2	<ul style="list-style-type: none"> <li>Portfolio Analysis: This section of the exam measures the skills of a Portfolio Manager and covers portfolio management approaches including risk and return measurement, portfolio optimization strategies, management styles, and the complete portfolio management process from objective setting to performance evaluation and rebalancing.</li> </ul>
Topic 3	<ul style="list-style-type: none"> <li>Investment Products: This section of the exam measures the skills of an Investment Products Analyst and covers fixed-income securities features, pricing, and trading; equity securities including common and preferred shares; derivatives including options, forwards, futures, rights and warrants; and the characteristics and uses of all these investment instruments in Canadian markets.</li> </ul>
Topic 4	<ul style="list-style-type: none"> <li>Additional Topics: This section of the exam measures the skills of a Wealth Management Professional and covers Canadian taxation systems, tax-advantaged accounts, fee-based account structures, retail client financial planning and estate planning, institutional client management, and ethical standards for financial advisors serving both individual and institutional clients.</li> </ul>
Topic 5	<ul style="list-style-type: none"> <li>Analysis of Managed and Structured Products: This section of the exam measures the skills of an Investment Products Specialist and covers mutual funds, exchange-traded funds, alternative investments, structured products, and other managed products including their structures, regulations, features, risks, strategies, performance measurement, and tax implications within the Canadian investment landscape.</li> </ul>

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## New CSC2 Test Sample | CSC2 Certification Questions

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### CSI Canadian Securities Course Exam2 Sample Questions (Q112-Q117):

#### NEW QUESTION # 112

John is a wealthy investor who frequently travels internationally. Why would a non-managed fee-based account be unsuitable for a client like John?

- A. Clients must approve all trades
- B. Frequent meetings with the advisor are required
- C. Higher trading fees due to the one-on-one client-advisor relationship
- D. Lack of customization to client needs

**Answer: A**

#### NEW QUESTION # 113

An investment analyst at a bank is reviewing the high, low and closing prices of a financial services stock. What type of analysis is this analyst conducting?

- A. Cycle analysis
- B. Moving average analysis
- C. Quantitative analysis
- D. Chart analysis

**Answer: D**

#### NEW QUESTION # 114

What is the next step after designing an investment policy statement?

- A. Outlining a list of acceptable and prohibited investments
- B. Determining investment objectives
- C. Determining investment constraints
- **D. Developing the asset mix**

**Answer: D**

#### NEW QUESTION # 115

In Canada, which industries are categorized as defensive?

- A. Baking and materials
- B. Energy and utilities.
- **C. Banking and utilities.**
- D. Energy and materials.

**Answer: C**

Explanation:

Defensive industries are less sensitive to economic cycles. They tend to perform consistently regardless of economic conditions because they provide essential goods and services that consumers require regardless of their financial situation. Banking and utilities fall under this category as:

\* Banking ensures essential financial services.

\* Utilities (e.g., electricity, water) provide necessary services.

Industries like energy and materials are more cyclical, reacting strongly to economic fluctuations. Hence, D.

Banking and Utilities is the correct choice.

References:

\* Volume 2, Chapter 13, "Classifying Industries by Reaction to the Economic Cycle".

#### NEW QUESTION # 116

What is the measure of risk commonly applied to portfolio and to individual securities within that portfolio?

- A. Beta
- B. Correlation.
- **C. Standard Deviation.**
- D. Alpha

**Answer: C**

Explanation:

Standard deviation measures the dispersion or variability of returns around the mean of a portfolio or security's historical performance. It is a widely used statistical metric in finance to assess risk, as it captures the degree to which returns can deviate from their expected value. A high standard deviation indicates higher risk, reflecting greater volatility in returns, while a low standard deviation suggests more stable performance.

Beta measures market risk relative to a benchmark, correlation measures the relationship between securities, and alpha represents excess return above a benchmark. However, standard deviation is the most common measure of total risk applicable to portfolios and individual securities.

\* References:

\* CSC Volume 2, Chapter 15: Introduction to the Portfolio Approach - Measuring Risk.

\* CSC Volume 2, Chapter 16: The Portfolio Management Process - Risk Metrics.

#### NEW QUESTION # 117

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