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## CFA Institute Sustainable Investing Certificate (CFA-SIC) Exam Sample Questions (Q697-Q702):

### NEW QUESTION # 697

The LEAP assessment framework developed by the Taskforce on Nature-Related Financial Disclosure (TNFD) stands for:

- A. learn, engage, adapt, protect.
- B. listen, estimate, advocate, preserve.
- C. locate, evaluate, assess, prepare.

**Answer: C**

Explanation:

The LEAP framework developed by TNFD stands for "Locate, Evaluate, Assess, Prepare." It is designed to help organizations evaluate nature-related risks and integrate them into financial disclosures. (ESGTextBook [PallasCatFin], Chapter 3, Page 114)

### NEW QUESTION # 698

ESG screens embedded within portfolio guidelines can be used as:

- A. both a risk management tool and a source of investment advantage.
- B. a risk management tool only.
- C. a source of investment advantage only.

**Answer: A**

Explanation:

ESG screens embedded within portfolio guidelines serve multiple purposes, including managing risks and identifying investment opportunities. By integrating ESG criteria into the investment process, investors can achieve better risk-adjusted returns and align their portfolios with long-term sustainability goals.

Risk Management Tool: ESG screens help in identifying and mitigating risks related to environmental, social, and governance factors. This includes avoiding investments in companies with poor ESG practices that could lead to financial losses or reputational damage.

Source of Investment Advantage: ESG screens also identify companies with strong ESG performance, which are often better positioned for long-term success. These companies may benefit from regulatory advantages, operational efficiencies, and stronger stakeholder relationships, providing an investment edge.

### NEW QUESTION # 699

Compared to developed markets, ESG investing in emerging markets is most likely characterized by:

- A. easier portability of approaches and principles methods from developed markets.
- B. fewer opportunities for investors to engage with companies and improve ESG performance.
- C. less data and greater variability between countries and companies.

**Answer: C**

Explanation:

ESG investing in emerging markets is more challenging due to limited availability of data, variability in reporting standards, and differences in governance practices between countries and companies. (ESGTextBook [PallasCatFin], Chapter 2, Page 61)

### NEW QUESTION # 700

According to the Sustainability Accounting Standards Board (SASB) materiality risk mapping, greenhouse gas emissions (GHG) are most material for the

- A. financial sector
- B. healthcare sector.
- C. infrastructure sector

**Answer: C**

Explanation:

SASB Materiality Map:

The SASB materiality map identifies which sustainability issues are likely to have a material impact on the financial performance of companies in different sectors. For the infrastructure sector, GHG emissions are identified as a key material issue.

SASB's framework emphasizes the financial relevance of GHG emissions for infrastructure companies due to their significant environmental impact and the regulatory and operational risks associated with emissions.

**Environmental Impact:**

Infrastructure projects, such as transportation systems, energy facilities, and construction projects, have substantial GHG emissions. Managing and mitigating these emissions is crucial for the sustainability and financial performance of companies in this sector.

The CFA Institute notes that the infrastructure sector's environmental footprint makes GHG emissions a critical focus area for ESG integration and risk management.

**Regulatory and Market Pressure:**

There is increasing regulatory pressure on the infrastructure sector to reduce GHG emissions. Compliance with environmental regulations and participation in carbon markets can have significant financial implications for infrastructure companies.

The SASB framework helps investors understand the material risks associated with GHG emissions and supports companies in improving their environmental performance to meet regulatory and market expectations.

**Investor Focus:**

Investors are increasingly focused on the ESG performance of infrastructure companies, particularly regarding GHG emissions. This focus is driven by the long-term risks and opportunities associated with climate change and the transition to a low-carbon economy.

The CFA Institute highlights that addressing GHG emissions in the infrastructure sector is essential for aligning investments with sustainability goals and managing long-term risks.

**Reference:**

Sustainability Accounting Standards Board (SASB) materiality risk mapping.

CFA Institute, "Environmental, Social, and Governance Issues in Investing: A Guide for Investment Professionals."

### NEW QUESTION # 701

Which of the following ESG screening methodologies is most likely to result in a well-diversified portfolio? Screening on:

- A. both a relative basis and an absolute basis
- B. an absolute basis only
- C. a relative basis only

**Answer: A**

**Explanation:**

Screening on both a relative basis and an absolute basis is most likely to result in a well-diversified portfolio.

**Relative Screening:** This involves comparing companies within the same industry or sector to identify the top or bottom performers based on ESG criteria. It ensures that the portfolio maintains exposure to various industries.

**Absolute Screening:** This sets fixed thresholds for ESG criteria that companies must meet to be included in the portfolio, regardless of their industry. It ensures that the portfolio includes only companies that meet a certain standard of ESG performance.

**Diversification:** Combining both methods allows for a broader and more balanced approach to ESG integration, ensuring that the portfolio is diversified across sectors while maintaining high ESG standards.

**CFA ESG Investing Reference:**

The CFA Institute's ESG Investing materials emphasize the benefits of using both relative and absolute screening to achieve a well-diversified portfolio that aligns with ESG objectives. This combined approach helps in capturing a wide range of high-performing ESG companies across different industries.

### NEW QUESTION # 702

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