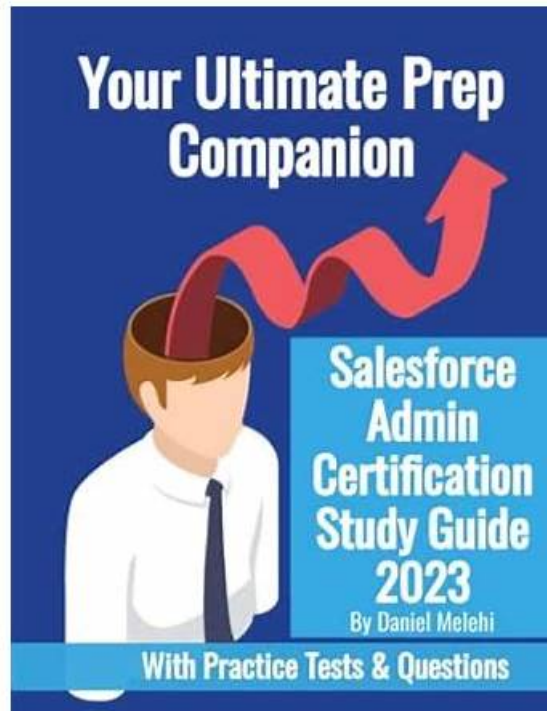


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CSI Canadian Securities Course Exam 1 Sample Questions (Q35-Q40):

NEW QUESTION # 35

An investor sold short 1,500 MNO common shares at \$12.75 per share. What is the outcome if the investor covers the short position at \$10.15 per share?

- A. A profit of \$3,900
- B. A loss of \$2,382
- C. A profit of \$2,382
- D. A loss of \$3,000

Answer: A

Explanation:

Profit from a short sale is calculated as the difference between the selling price and the covering price, multiplied by the number of shares:

$$\text{Profit} = (12.75 - 10.15) \times 1,500 = 2.60 \times 1,500 = 3,900$$

$$\text{Profit} = (12.75 - 10.15) \times 1,500 = 2.60 \times 1,500 = 3,900$$

References: Volume 1, Chapter 9 ("Short Selling").

NEW QUESTION # 36

On what basis are government securities awarded at the auction average yield?

- A. Schedule III banks
- B. Open market
- C. Dealer market system
- D. Non-competitive tender.

Answer: D

Explanation:

Government securities are awarded at auction using both competitive and non-competitive bidding. In a non-competitive bid, the participants (such as smaller investors or institutions) agree to accept the average yield determined by the competitive bidding process. This mechanism ensures equitable access to government securities without the need to compete directly on yield, promoting broad participation in the market.

NEW QUESTION # 37

What action is an exchange likely to take when the public distribution of a given security has dwindled to an unacceptably low level?

- A. Suspension in trading
- B. Halt in trading
- C. Delayed opening
- D. Delisting

Answer: D

Explanation:

When the public distribution of a security drops to an unacceptably low level, the exchange may consider delisting the security. This action ensures that the securities listed on the exchange meet minimum requirements to maintain market integrity and liquidity. Delisting is a permanent measure and typically occurs after other corrective actions fail, such as halting or suspending trading.

NEW QUESTION # 38

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. Mark it as a margin order
- C. Verify the client can borrow the shares.
- D. Obtain minimum margin amount from client

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."

NEW QUESTION # 39

When a futures contract is entered into, who sets the minimum initial margin rate?

- A. Buyer
- B. Seller
- C. Exchange
- D. investment dealer

Answer: C

Explanation:

The exchange that lists and trades the futures contract sets the minimum initial margin rate. This margin is required as collateral to ensure performance under the contract. The exchange determines this rate based on the volatility and risk of the underlying asset, and it is subject to adjustment depending on market conditions.

Other options:

* Investment dealer: Acts as a facilitator but does not set the margin rates.

* Buyer/Seller: Must meet the margin requirements but do not set them.

References:

* Volume 1, Chapter 10: Derivatives, section on "Futures Contracts" describes the role of exchanges in setting margin requirements.

NEW QUESTION # 40

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