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CSI Canadian Securities Course Exam 1 Sample Questions (Q44-Q49):

NEW QUESTION # 44

What is a common use of bond Indexes in the securities industry?

- A. Assess credit risk of individual bonds

- **B. Construction of bond index funds.**
- C. Provide liquidity for debt issuers.
- D. As a common investment for direct purchase

Answer: B

Explanation:

Bond indexes are widely used in the securities industry to construct bond index funds, which aim to replicate the performance of the bond market or a specific segment of it.

* A (Provide liquidity) refers to market-making activities, not bond indexes.

* B (Direct purchase) is uncommon, as bond indexes are benchmarks rather than individual investments.

* D (Assess credit risk) is achieved through credit rating agencies, not bond indexes.

References: Volume 1, Chapter 7 ("Bond Indexes").

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NEW QUESTION # 45

What is the role that the dealer member is taking when a client's order for an unlisted security is filled directly from inventory rather than on the exchange?

- A. Clearing agent
- B. Over-the-counter agent
- **C. Principal**
- D. Alternative trading system

Answer: C

Explanation:

When a dealer member fills a client's order for an unlisted security from its own inventory, the dealer is acting as a principal.

* A (Alternative trading system) refers to electronic platforms for trading securities.

* B (Clearing agent) involves post-trade settlement activities.

* C (Over-the-counter agent) is incorrect since the dealer is transacting directly.

References: Volume 1, Chapter 9 ("Principal and Agency Transactions").

NEW QUESTION # 46

What action must an investment advisor take when submitting a trade ticket for a short sale?

- A. Obtain minimum margin amount from client
- B. Mark it as a margin order
- **C. Mark the sell-order ticket as a short sale**
- D. Verify the client can borrow the shares.

Answer: C

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 # 47

Which statutory right allows a purchaser to cancel their order if a prospectus has a misrepresentation?

- A. Right of withdrawal
- B. Right of action for damages

- C. Right of rescission.
- D. Right of amended prospectus delivery

Answer: C

Explanation:

The right of rescission allows a purchaser to cancel their purchase if the prospectus contains a misrepresentation. This statutory right protects investors by ensuring that they are not bound by transactions based on incorrect or misleading information. Under Canadian securities law, the right of rescission is an important safeguard to maintain market integrity and investor confidence.

This right is distinct from the right of action for damages, which allows investors to sue for compensation, and the right of withdrawal, which permits cancellation within a limited time after agreeing to the purchase, typically two business days.

References:

* Volume 1, Chapter 3: The Canadian Regulatory Environment, section on "Rights of Purchasers" describes the statutory rights related to prospectuses and their misrepresentations.

NEW QUESTION # 48

What is the portion of annual profit held by a company after the payment expenses and the distribution of dividends?

- A. Gross profit
- B. Comprehensive income.
- C. Share capital.
- D. Retained earnings

Answer: D

Explanation:

Retained earnings represent the portion of a company's annual profit that is retained and not paid out as dividends. It is used to reinvest in the business or pay down debt.

* B. Comprehensive income includes all changes in equity except those from owner contributions or distributions.

* C. Share capital refers to funds raised by issuing shares.

* D. Gross profit is revenue minus the cost of goods sold, not the portion retained.

References: Volume 1, Chapter 11 ("Corporations and Their Financial Statements").

NEW QUESTION # 49

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