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CSI Canadian Securities Course Exam 1 Sample Questions (Q41-Q46):

NEW QUESTION # 41

What is one feature of a general partnership?

- A. it is a distinct legal entity separate from its owners
- **B. The partners are personally liable for all debts of the business**
- C. it can raise funds by issuing equity .
- D. A general partner runs the business and the limited partners do not.

Answer: B

Explanation:

In a general partnership, all partners share the responsibility of managing the business and are personally liable for its debts. This contrasts with a limited partnership, where limited partners have liability restricted to their investment.

* Option A: Describes a limited partnership.

* Option B: General partnerships do not issue equity to raise funds.

* Option C: General partnerships are not distinct legal entities; liability is shared.

NEW QUESTION # 42

A private company is working with an advisory firm To apply for a listing on a public exchange.

The management is concerned with the additional costs for the company Incurred by the listing and ongoing annual fees. What should management consider with regard to the costs and benefits of public listing?

- A. Listing the company will require restrictions on stock options Issued for Internal use
- B. Management will benefit from the public disclosure of changes in the company.
- **C. Listing the company will attract new shareholders and increase the ability to raise capital.**
- D. The valuation of securities for estate tax purposes and estate tax planning will be easier

Answer: C

Explanation:

Listing on a public exchange provides companies with access to a broader pool of potential investors. This increased visibility enhances the ability to raise capital through the issuance of shares or bonds. Although there are additional costs associated with being publicly listed (such as listing fees and compliance costs), the benefits of access to new sources of funding and improved liquidity for shares often outweigh these concerns.

* A. Management will benefit from the public disclosure of changes in the company: Public disclosure does not directly benefit management but is a requirement for transparency.

* C. Listing the company will require restrictions on stock options issued for internal use: While stock option plans may be regulated, this is not a primary consideration for listing.

* D. The valuation of securities for estate tax purposes and estate tax planning will be easier: While public listing improves transparency, estate tax considerations are not a primary driver of listing decisions.

NEW QUESTION # 43

An investor feels unfairly treated by a stockbroker regarding a set of transactions. After a discussion of the situation Between the investor and the member, the investor and the member, the investor is still dissatisfied.

What is the best request that the investor could make to seek compensation?

- A. A payment from the Canadian investor Protection Fund.
- B. An investigation by the Ombudsman for Banking Service and investments.
- C. A rescission of the objectionable trades.
- **D. An Independent arbitration.**

Answer: D

Explanation:

When an investor feels unfairly treated by a stockbroker, and the issue is not resolved through direct discussion with the member firm, the next step often involves pursuing a formal dispute resolution mechanism. The options available in the Canadian securities industry for handling such disputes include:

* Rescission of the objectionable trades:

* This would involve canceling or reversing the trades in question. However, rescission is rarely granted and typically occurs only if there is clear evidence of fraud or legal impropriety. It is not the best initial course of action for dispute resolution.

* Payment from the Canadian Investor Protection Fund (CIPF):

* The CIPF protects clients of member firms in the event of the firm's insolvency, not disputes over trades or treatment by a broker. Therefore, this is not applicable in this case.

* Independent arbitration:

* Arbitration is a widely recognized method of resolving disputes in the securities industry. It involves an independent arbitrator reviewing the case and issuing a binding decision. It is particularly suitable for cases where discussions between the investor and the firm have not resolved the issue.

* Investigation by the Ombudsman for Banking Services and Investments (OBSI):

* OBSI offers a dispute resolution service for clients of financial institutions, including investment dealers. However, OBSI's findings

are non-binding, meaning they cannot compel the member firm to act or pay compensation. Arbitration, on the other hand, provides a binding resolution.

Why Arbitration is the Best Option:

Independent arbitration is a more definitive course of action because it results in a binding decision that both the investor and the broker must adhere to. Arbitration is designed to handle precisely the type of disputes described in the question and ensures a fair process overseen by an impartial third party.

References:

* Canadian Securities Course Volume 1:

* Section on Dispute Resolution and Investor Protection: Arbitration is discussed as a key method for resolving disputes where the investor seeks a binding resolution.

* Role of the Canadian Investor Protection Fund: The CIPF is explained as providing coverage for insolvency, not dispute resolution.

* Role of the Ombudsman for Banking Services and Investments (OBSI): OBSI is explained as offering non-binding recommendations, making it less suitable for cases where binding decisions are needed.

NEW QUESTION # 44

Anwar is placing a market order to purchase 100 shares of AJL when the bid/ask is \$10.25/\$10.75. Before the trade is complete, the bid/ask moves to \$10.20/\$10.70. What is the share price that Anwar will pay on the purchase transaction?

- A. \$10.70
- B. \$10.29
- C. \$10.20
- D. \$10.75

Answer: A

Explanation:

A market order executes immediately at the best available ask price for a purchase transaction. In this case, the bid/ask initially was \$10.25/\$10.75. However, before execution, the ask price updated to \$10.70, meaning Anwar will pay \$10.70 per share.

* B. \$10.75: This was the previous ask price but is no longer valid after the update.

* C. \$10.29: This value is not relevant to the current bid/ask spread.

* D. \$10.20: This represents the updated bid price, which applies to sell orders, not buy orders.

NEW QUESTION # 45

A large number of well-trained, willing-to-work individuals have given up trying to find employment. All else being equal, how will the labor market indicators be affected by this event.

- A. An increase in the labour force.
- B. A decrease in the overall unemployment rate.
- C. An increase in the participation rate.
- D. A decrease in the structural unemployment rate.

Answer: B

Explanation:

When individuals stop actively seeking work, they are no longer considered part of the labour force, and this reduces the unemployment rate since it only includes those actively seeking employment.

* A (Structural unemployment) remains unchanged as this relates to mismatches in skills or geographic factors.

* C (Participation rate) decreases since fewer individuals are in the labour force.

* D (Labour force) decreases as individuals withdraw from it.

References: Volume 1, Chapter 4 ("Labour Market Indicators").

NEW QUESTION # 46

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