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## CSI Canadian Securities Course Exam2 Sample Questions (Q165-Q170):

### NEW QUESTION # 165

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

- A. Right of rescission.
- B. Right of withdrawal.
- C. Right of action for damages
- D. Right of amended prospectus delivery

**Answer: A**

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 # 166**

What is the best description of growth-style investment managers?

- A. Managers are usually concerned with quarterly portfolio fluctuations
- B. Managers buy discounted stocks that should eventually rise in price by screening stocks for cheap fundamentals
- **C. Managers deliver long-term total return mostly through capital appreciation**
- D. Managers focus on identifying the current phase of the economic cycle, the direction the economy is headed in, and the various sectors affected

**Answer: C**

#### **NEW QUESTION # 167**

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

**Answer: B**

#### **NEW QUESTION # 168**

How are investment dealers unique participants in the institutional market?

- A. They manage pools of assets on behalf of beneficiaries.
- **B. They act on both the buy side and sell side.**
- C. They produce research reports.
- D. They manage a firm's financial assets in support of a company's business activities.

**Answer: B**

Explanation:

Investment dealers play a unique role in the institutional market due to their dual capability of operating on both the buy side and the sell side:

\* The Buy Side Investment dealers assist institutional investors like pension funds, mutual funds, and hedge funds in acquiring securities to meet their investment objectives. These clients aim to optimize returns on their invested assets, and the dealers provide them with access to securities markets, investment advice, and execution services.

\* The Sell Side On the sell side, investment dealers facilitate the issuance of new securities. They underwrite and distribute these securities, providing liquidity to the market. They also produce research reports and provide trade execution services to institutional and retail clients. This dual operation is critical for maintaining market efficiency and ensuring the smooth functioning of capital markets.

This dual-role capacity makes investment dealers pivotal in bridging gaps between the needs of securities issuers and institutional investors. They enhance market liquidity, efficiency, and transparency through their intermediary functions.

References:

\* Canadian Securities Course, Volume 1, Chapter 1: The Investment Dealer's Role as a Financial Intermediary

\* Canadian Securities Course, Volume 2, Chapter 27: Working with the Institutional Client.

### NEW QUESTION # 169

Which macroeconomic factors would have a positive impact on investor expectations and the price of securities?

- A. Increased taxes on corporations with the goal of lower government debt.
- B. Targeting certain sectors of the economy with monetary policy measures and tax breaks.
- **C. Low levels of government debt and consumer indebtedness.**
- D. A decrease in government spending with corresponding tax cuts to individuals.

**Answer: C**

Explanation:

Low levels of government and consumer indebtedness create a positive macroeconomic environment for investor expectations and securities prices. When debt levels are manageable, governments and consumers have greater financial flexibility, which can lead to increased economic activity and improved investor confidence.

\* Why This Impacts Investor Expectations Positively:

\* Low government debt allows for expansionary fiscal policies (e.g., increased spending or tax cuts) without significantly increasing borrowing costs.

\* Low consumer debt supports higher disposable income, enabling more spending and investment.

\* Both factors reduce the risk of higher interest rates, keeping borrowing costs low for businesses and individuals, which supports economic growth and, in turn, securities prices.

\* Why Other Options Are Incorrect:

\* A: Targeted monetary policies may benefit specific sectors but are not a universally positive factor for all securities.

\* B: Increased taxes on corporations can reduce profitability and negatively impact investor expectations.

\* D: A decrease in government spending with tax cuts could slow economic growth, negatively impacting securities prices.

References:

\* CSC Volume 2, Chapter 13: Macroeconomic Factors and their impact on securities.

### NEW QUESTION # 170

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