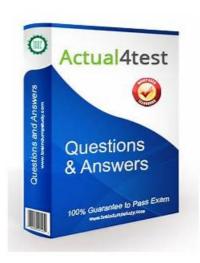
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# **CSI CSC2 Exam Syllabus Topics:**

Topic	Details
Торіс 1	Analysis of Managed and Structured Products: This section of the exam measures the skills of an Investment Products Specialist and covers mutual funds, exchange-traded funds, alternative investments, structured products, and other managed products including their structures, regulations, features, risks, strategies, performance measurement, and tax implications within the Canadian investment landscape.
Торіс 2	The Corporation: This section of the exam measures the skills of a Corporate Finance Analyst and covers corporate structures, financial statements, disclosure requirements, investor rights, financing methods, capital raising processes, prospectus requirements, securities distribution, and exchange listing procedures for corporations.

Topic 3	Additional Topics: This section of the exam measures the skills of a Wealth Management Professional and covers Canadian taxation systems, tax-advantaged accounts, fee-based account structures, retail client financial planning and estate planning, institutional client management, and ethical standards for financial advisors serving both individual and institutional clients.
Topic 4	The Canadian Investment Marketplace: This section of the exam measures the skills of a Securities Industry Professional and covers the structure and operation of Canada's investment marketplace. It includes the roles of investment dealers and financial intermediaries, capital market functions, financial instruments, and the complete Canadian regulatory environment with its regulatory bodies, principles of regulation, client remediation options, and ethical standards for financial services professionals.

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# CSI Canadian Securities Course Exam2 Sample Questions (Q129-Q134):

### **NEW QUESTION # 129**

How does beta help assess the risk of a mutual fund?

- A. Monitors trading volumes.
- B. Relates its returns to the underlying markets.
- C. Compares management expense ratios.
- D. Measures comparative performance.

# Answer: B

#### **NEW QUESTION #130**

What is unique to responsible investment?

- A. It is unavailable with certain asset classes like segregated fundi
- B. ESG factors are standardized across the investment no industry.
- · C. A combination of a values and valuation-based approach to investing
- D. It bases investment decisions exclusively on environmental factors.

# Answer: C

#### Explanation:

Responsible investing (RI) incorporates environmental, social, and governance (ESG) factors into investment decisions. This approach combines values-based investing (aligning investments with personal or institutional ethics) and valuation-based investing (analyzing ESG factors to assess potential risks and returns).

- \* A. It is unavailable with certain asset classes like segregated funds: RI is increasingly available across various asset classes, including segregated funds.
- \* B. ESG factors are standardized across the investment industry: ESG standards vary and are not uniformly applied.
- \* D. It bases investment decisions exclusively on environmental factors: RI considers environmental, social, and governance factors, not just environmental concerns.

Reference: CSC Volume 1, Chapter 8, "Responsible Investment - ESG Factors" explains the dual focus of RI on values and valuation.

### **NEW QUESTION #131**

Kenji is ready to place a large trade in a European small-cap ETF, traded on the TSX. It is 10 a.m. in Toronto, where Kenji is located. What trading tip can Kenji use to protect his trade from sudden price movements?

- A. Place his trade by using a limit order.
- B. Place his trade by executing it in small portions at a time.
- C. Place his trade close to the end of the TSX's regular trading hours.
- D. Place his trade when a trading halt is issued for any underlying ETF holding.

#### Answer: A

# **NEW QUESTION #132**

A client who seeks advice from an investment advisor but does not require financial planning guidance. Which platform is most appropriate for this client?

- A. Self-directed brokerage.
- B. Family office
- C. Exchanged-traded fund.
- D. Discount brokerage.

#### Answer: D

#### Explanation:

A discount brokerage is an ideal platform for clients who seek professional advice but do not require comprehensive financial planning. Discount brokers allow clients to trade securities with minimal fees, offering tools and resources for investment decision-making without the cost of full-service advisory.

- \* Why This Platform is Appropriate:
- \* Clients retain control over their portfolios but can access limited advisory services when needed.
- \* Suitable for investors who are comfortable with self-directed investing and require occasional guidance.
- \* Why Other Options Are Incorrect:
- \* A: A family office provides high-end services, including financial planning, making it excessive for this client.
- \* B: A self-directed brokerage is entirely self-managed, without access to advisory support.
- \* C: ETFs are an investment product, not a platform.

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CSC Volume 2, Chapter 25: Overview of Fee-Based and Discount Brokerage Accounts.

# **NEW QUESTION #133**

An analyst compiles the following information for Theta Inc.



Based on the financial information provided, what will the dividend payout ratio be for Theta Inc.?

- A. 6.66%
- B. 8.33%
- C. 3.24%
- D. 1.80%

#### Answer: B

### **NEW QUESTION #134**

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