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CSI Canadian Securities Course Exam 1 Sample Questions (Q36-Q41):

NEW QUESTION # 36

An emerging Canadian company is exploring the possibility of using hotwater springs to produce clear energy for remote rural communities. The company has strong human resource capital and few assets, and raised SI 20,000 through the Capital Pool Company program. Which option is best for this company to continue maximizing public exposure and raising capital?

- A. offering a greenshoe option
- **B. Crowdfunding**
- C. Filing disclosure documents with SEDAR+.
- D. Escrowing shares

Answer: B

Explanation:

For an emerging company with limited assets and innovative goals, crowdfunding is an excellent option to maximize public exposure and raise capital. Crowdfunding involves soliciting small investments from a large number of people, typically through online platforms, making it ideal for startups or innovative ventures like the use of hot water springs for clean energy.

Other options:

- * Escrowing shares: Typically used to restrict the sale of shares for a certain period, not for raising capital.
- * Offering a greenshoe option: Applies to stabilizing stock prices in an IPO or follow-on offering, not raising initial capital.
- * Filing disclosure documents with SEDAR+: Necessary for public companies but does not directly raise capital or increase exposure.

References:

- * Volume 1, Chapter 12: Financing and Listing Securities, section on "Capital Raising Options" covers crowdfunding as a method for startups to raise funds.

NEW QUESTION # 37

What order would an investor use to protect a short position?

- A. Stop loss
- B. Good till
- **C. Stop buy**
- D. Market

Answer: C

Explanation:

A stop buy order is used to protect a short position. This type of order instructs the broker to purchase a security if its price rises to a specified level, limiting the short seller's potential loss. It is triggered when the price reaches or surpasses the set stop price, helping the short seller exit the position to avoid unlimited losses.

Study Document References:

- * Volume 1, Chapter 9: Order Types and Protecting Short Positions, discussing how stop buy orders function for short sellers.

NEW QUESTION # 38

What is margin in an equity transaction?

- A. interest paid by the client to borrow securities.
- **B. Loan that a dealer extends to a client to buy securities.**
- C. Amount paid by a client when he uses credit to buy securities
- D. Good-faith deposit to ensure the client will make future financial obligations

Answer: B

Explanation:

In an equity transaction, margin refers to the loan that a dealer extends to a client to facilitate the purchase of securities. The client pays a portion of the purchase price (the margin requirement), while the dealer provides the remainder as a loan. This enables clients to leverage their investments and potentially enhance returns, albeit with increased risk.

Other options:

- * Amount paid by a client when using credit to buy securities: Describes the margin requirement but does not fully define margin.
- * Good-faith deposit to ensure future financial obligations: Refers to initial margin in derivatives trading, not equity transactions.
- * Interest paid by the client to borrow securities: Refers to short-selling, not buying on margin.

References:

- * Volume 1, Chapter 9: Equity Transactions, section on "Margin Accounts" explains the mechanics of margin trading and loans.

NEW QUESTION # 39

What is unique to responsible investment?

- A. ESG factors are standardized across the investment no industry.
- B. A combination of a values and valuation-based approach to investing
- C. It is unavailable with certain asset classes like segregated funds
- 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).

Why Other Options are Incorrect: 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.

C). It bases investment decisions exclusively on environmental factors: RI considers environmental, social, and governance factors, not just environmental concerns.

NEW QUESTION # 40

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

Answer: D

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 # 41

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