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CSI CSC2 Exam Syllabus Topics:

Topic	Details

Topic 1	<ul style="list-style-type: none"> Investment Analysis: This section of the exam measures the skills of a Research Analyst and covers both fundamental and technical analysis methods, including macroeconomic, industry and company analysis techniques, financial statement interpretation, ratio analysis, and security valuation approaches.
Topic 2	<ul style="list-style-type: none"> 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 3	<ul style="list-style-type: none"> The Economy: This section of the exam measures the skills of an Economic Analyst and covers fundamental economic concepts including microeconomics and macroeconomics, economic growth measurement, business cycles, labor markets, interest rates, inflation, international trade, and both fiscal and monetary policy with emphasis on the Bank of Canada's role and government policy challenges.
Topic 4	<ul style="list-style-type: none"> 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.

CSI Canadian Securities Course Exam2 Sample Questions (Q32-Q37):

NEW QUESTION # 32

What event would trigger an amendment of the account application while monitoring a portfolio?

- A. When a new market cycle is formed.
- B. The annual client meeting.
- C. When the advisor's views are influenced by a recent news headline.
- D. When a client's job situation has changed.

Answer: D

NEW QUESTION # 33

Which factors tends to increase when inflation increases?

- A. Common share prices.
- B. Corporate bond prices.
- C. Corporation price-earnings multiples.
- D. Labour costs for manufactures.

Answer: D

Explanation:

Inflation represents the overall rise in prices across the economy. As inflation increases, the costs of raw materials and wages typically rise. Labour costs for manufacturers increase because employees demand higher wages to compensate for the loss of purchasing power caused by inflation. Additionally, higher labour costs directly impact the profit margins of companies, particularly in manufacturing industries.

Other options are incorrect because:

- * A. Price-earnings multiple tend to decrease as inflation rises due to reduced earnings growth expectations and higher discount rates.
- * C. Common share prices may decline as inflation reduces consumer spending and corporate earnings.
- * D. Corporate bond prices tend to fall as inflation erodes the fixed interest payments and leads to higher interest rates.

NEW QUESTION # 34

How can an analyst use trend analysis to analyze a company's financial statements?

- A. Identify trends by selecting the lowest ratio for the base year, even if a loss is experienced, as it represents a good starting point for analyzing the growth in the ratios.
- **B. Computer the company's current ratios with its ratios from prior years to determine a trend.**
- C. Review the company's ratio over the past year, as they provide the best estimate of near-term performance and future trends.
- D. Analyze the ratios against companies in a wide a range of industries to see how the company is trending in the current economic cycle.

Answer: B

Explanation:

Trend analysis involves comparing a company's financial ratios or metrics over several periods to identify patterns or changes that may indicate performance trends. This approach is essential for evaluating a company's financial health over time and detecting improvements or declines in critical financial metrics.

By analyzing the current ratios-which measure liquidity and the company's ability to cover short-term obligations-with data from prior years, an analyst can determine trends such as increasing efficiency, solvency, or potential financial stress. This method provides meaningful insights into a company's financial trajectory, supporting better decision-making.

Option B and C are incorrect because they either limit the analysis to a short timeframe or ignore the significance of using a stable and representative base year. Option D deviates from the principle of selecting relevant industry peers.

References:

* Volume 2, Chapter 14: Company Analysis, Trend Analysis, Canadian Securities Course.

NEW QUESTION # 35

What must happen for a redemption to be processed from a mutual fund?

- A. The client redeeming the mutual fund must receive a Fund facts document.
- **B. Payment for redeemed securities must be within two business days after the NAVPS is determined.**
- C. The offering price of the mutual fund must be calculated.
- D. Mutual funds representatives must submit the order within two business days of when the order is received from the client.

Answer: B

Explanation:

When a mutual fund redemption is processed, the fund must calculate the Net Asset Value per Share (NAVPS) to determine the redemption price. The Canadian Securities Administrators (CSA) regulations mandate that payment for redeemed securities be made within two business days following the calculation of NAVPS, ensuring prompt transactions while protecting investor interests.

References:

* CSC Volume 2, Chapter 17: "Mutual Funds: Structure and Regulation," details the process and timing for mutual fund redemptions, including regulatory requirements.

NEW QUESTION # 36

In a multi-mandate managed account, who sets the overall optimal asset mix?

- A. Client
- **B. Overlay manager**
- C. Investment advisor
- D. Sub-advisor

Answer: B

NEW QUESTION # 37

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