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CSI CSC2 Exam Syllabus Topics:

Topic	Details
Topic 1	<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 2	<ul style="list-style-type: none">Investment Products: This section of the exam measures the skills of an Investment Products Analyst and covers fixed-income securities features, pricing, and trading; equity securities including common and preferred shares; derivatives including options, forwards, futures, rights and warrants; and the characteristics and uses of all these investment instruments in Canadian markets.
Topic 3	<ul style="list-style-type: none">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.
Topic 4	<ul style="list-style-type: none">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 5	<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.

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CSI Canadian Securities Course Exam2 Sample Questions (Q22-Q27):

NEW QUESTION # 22

What information is an investor unable to retrieve through the SEDAR+ website?

- A. Registration information for dealers.
- B. Annual information form.
- C. Annual report.
- D. Interim financial statements.

Answer: A

NEW QUESTION # 23

Jenny contributed \$5,000 each year for five years to a spousal RRSP in Albert's name. In the calendar year immediately following Jenny's last contribution, Albert withdrew \$25,000 from the RRSP. What are the tax implications of the withdrawal for Albert and Jenny?

- A. Albert includes \$10,000 in his taxable income and Jenny includes \$15,000 in her taxable income.
- B. Jenny includes \$10,000 in her taxable income and Albert includes \$15,000 in his taxable income.
- C. No effect on Jenny's taxable income and Albert includes \$25,000 in his taxable income.
- D. Jenny includes \$25,000 in her taxable income and Albert includes \$0 in his taxable income.

Answer: A

NEW QUESTION # 24

Over the previous three calendar years, fund LMO had five drawdowns as follows:

□ What was the maximum drawdown during this time period?

- A. 22.50%
- B. 52.50%
- C. 21.25%
- D. 18.00%

Answer: D

NEW QUESTION # 25

A portfolio manager at an investment firm is analyzing the behavior of stocks in various market conditions.

They believe markets are efficient and that all public and non-public and non-public available information is fully reflected in current process. How should the construct their investment portfolio?

- A. Create a passive investment portfolio with exchange- traded funds.
- B. Use both fundamental and technical analysis to add value to the portfolio.
- C. Actively buy and sell stocks in an attempt to beat the stock market's average returns.
- D. Use technical analysis to review all past price movements and trends.

Answer: A

Explanation:

When an investor or portfolio manager adheres to the belief in market efficiency-specifically the strong form of the Efficient Market Hypothesis (EMH)-it implies that all information (public and non-public) is fully reflected in security prices. This belief diminishes the

value of active investment strategies, such as fundamental or technical analysis, as these approaches presume the possibility of identifying undervalued or overvalued securities.

As such, the logical approach in this scenario would be to adopt a passive investment strategy. This includes constructing a portfolio of exchange-traded funds (ETFs) or index funds that replicate the performance of a broad market index, such as the S&P/TSX Composite Index. A passive approach aligns with the principle of market efficiency, as it avoids attempts to outperform the market, which are considered futile under the EMH.

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Volume 2, Chapter 13: Fundamental and Technical Analysis, Efficient Market Hypothesis, Canadian Securities Course.

NEW QUESTION # 26

What is the likely outcome at the end of a five-year term of a rate-reset preferred share if the issuer does not redeem the shares?

- **A. The shareholder exchanges the rate-reset preferred share for a floating-rate preferred share**
- B. The shareholder exchanges the rate-reset preferred share for an unsecured bond
- C. The shareholder exchanges the rate-reset preferred share for a specified number of common shares.
- D. The shareholder exchanges the rate-reset preferred share for a fixed-rate preferred share.

Answer: A

Explanation:

At the end of the five-year term, if the issuer does not redeem the rate-reset preferred shares, the shareholder can choose to:

* Continue holding the shares at the reset fixed rate.

* Convert them into floating-rate preferred shares with rates tied to a benchmark (e.g., prime or LIBOR).

This conversion offers flexibility to the shareholder based on market conditions.

* A. Exchange for a specified number of common shares: Rate-reset preferred shares do not have this feature.

* B. Exchange for a fixed-rate preferred share: The fixed-rate component is reset, not exchanged.

* C. Exchange for an unsecured bond: This is not a feature of rate-reset preferred shares.

Reference: CSC Volume 1, Chapter 8, "Preferred Shares - Rate-Reset Features" outlines the conversion options for rate-reset preferred shares.

NEW QUESTION # 27

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