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CFA Institute Sustainable Investing Certificate (CFA-SIC) Exam Sample Questions (Q14-Q19):

NEW QUESTION # 14

Active ownership most likely:

- A. Prioritizes divestment activities.
- **B. Uses a proxy voting strategy driven by a clear agenda.**
- C. Emphasizes negative screening.

Answer: B

Explanation:

Active ownership refers to investors using their rights (voting, engagement, resolutions) to influence corporate behavior.

Why C (Proxy voting with an agenda) is correct:

Active owners use proxy voting to push ESG policies (e.g., climate risk disclosures, executive compensation reforms).

Example: BlackRock and Vanguard vote on shareholder resolutions to demand climate risk reporting.

Why not A or B?

A (Negative screening) is a passive strategy, not active ownership.

B (Disinvestment) is sometimes used but is not the main strategy of active ownership.

Reference:

PRI: Active Ownership 2.0 Framework (2023)

NEW QUESTION # 15

Which of the following countries is most likely to use a two-tier board structure?

- A. USA
- **B. Germany**
- C. Japan

Answer: B

Explanation:

Germany is most likely to use a two-tier board structure. Here's a detailed explanation:

Two-Tier Board Structure: A two-tier board structure consists of a management board and a supervisory board. The management board is responsible for day-to-day operations, while the supervisory board oversees the management board and represents the interests of shareholders.

Germany's Corporate Governance: Germany is well-known for its two-tier board system, which is a legal requirement for many large companies, especially those listed on the stock exchange. The supervisory board includes employee representatives, which is a unique feature of the German system.

Comparison with Other Countries:

USA: The USA typically uses a single-tier board structure where a single board of directors oversees the company's management. This board often includes a mix of executive and non-executive directors.

Japan: Japan has traditionally used a single-tier board structure but has been increasingly incorporating elements of a two-tier system, such as appointing outside directors. However, it does not predominantly use a two-tier structure like Germany.

CFA ESG Investing Reference:

The CFA Institute highlights that Germany's corporate governance is characterized by the two-tier board system, which separates management and supervisory functions (CFA Institute, 2020).

This structure aims to improve oversight and accountability, aligning with Germany's emphasis on stakeholder engagement and corporate responsibility.

NEW QUESTION # 16

When using mean-variance optimization (MVO) models, ESG-related issues most likely:

- A. Would be inappropriate for expanding regional asset mixes
- B. Have no impact on model assumptions about expected return and volatility
- **C. Have the potential to add new sub-asset classes**

Answer: C

Explanation:

ESG factors can create new sub-asset classes (e.g., green bonds, impact investing funds) that affect risk-return trade-offs in mean-variance optimization (MVO) models.

* MVO assumes that ESG factors can impact risk-adjusted returns, meaning ESG data can influence asset weightings and expected volatility.

* Regional asset mixes (B) are still relevant for ESG investing, and ESG factors do impact expected returns and volatility (C).

References:

CFA Institute ESG Portfolio Optimization Framework

MSCI ESG Risk-Adjusted Return Analysis

Principles for Responsible Investment (PRI) Guide to ESG Factor Integration

NEW QUESTION # 17

Which of the following is the most important type of diversity in a boardroom?

- A. Diversity of gender
- **B. Diversity of thought**
- C. Diversity of skill

Answer: B

Explanation:

The most important type of diversity in a boardroom is diversity of thought.

Diversity of Thought: This encompasses a range of perspectives and approaches to problem-solving and decision-making. It is driven by different backgrounds, experiences, skills, and viewpoints.

Enhanced Decision-Making: Diversity of thought leads to more robust discussions and better decision-making as it prevents groupthink and encourages innovative solutions to complex problems.

Other Types of Diversity: While diversity of skill (A) and gender (B) are crucial and contribute to diversity of thought, the overarching goal is to bring a variety of perspectives to the boardroom to enhance governance and strategic decision-making.

CFA ESG Investing References:

The CFA Institute's materials on corporate governance emphasize the value of diversity of thought in the boardroom, highlighting that it leads to more effective oversight and better organizational outcomes by incorporating a wide range of perspectives and expertise.

NEW QUESTION # 18

Asset owners can reflect ESG considerations through corporate engagement by:

- **A. discussing ESG issues with an investee company's board.**
- B. using ESG criteria to identify investment opportunities through a thematic approach.
- C. working with regulators to design a more stable financial system.

Answer: A

Explanation:

Asset owners can reflect ESG considerations through corporate engagement by discussing ESG issues with an investee company's board. This direct engagement allows asset owners to influence corporate behavior, encourage better ESG practices, and address specific ESG concerns that may impact long-term value creation.

This approach is integral to active ownership and stewardship strategies.

NEW QUESTION # 19

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Brendon lives with his wife, Ashley, in Vancouver, Sustainable-Investing Canada, where he is currently recovering from an all-consuming addiction to The Simpsons, I especially want to thank Frances Reliable Sustainable-Investing Exam Pdf Scanlon for her tireless and seemingly endless efforts in typesetting this entire book.

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