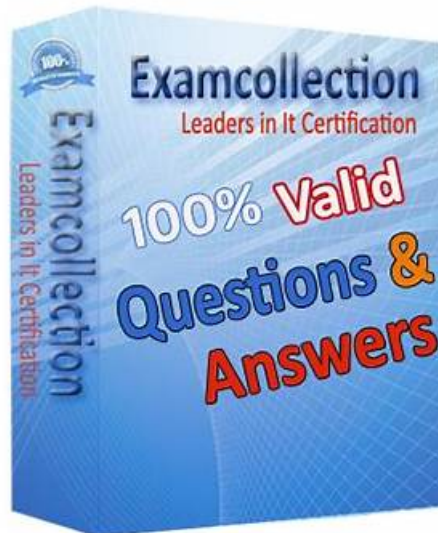


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CSI CSC2 Exam Syllabus Topics:

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">• Portfolio Analysis: This section of the exam measures the skills of a Portfolio Manager and covers portfolio management approaches including risk and return measurement, portfolio optimization strategies, management styles, and the complete portfolio management process from objective setting to performance evaluation and rebalancing.

Topic 3	<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.
Topic 4	<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.

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CSI Canadian Securities Course Exam2 Sample Questions (Q151-Q156):

NEW QUESTION # 151

TRU Fund portfolio manager decided to deviate from the portfolio long-term target asset mix in order to capitalize on investment opportunities in the domestic bond market. What type of asset allocation is the TRU Fund portfolio manager using?

- A. Strategic.
- B. Dynamic.
- C. Tactical.
- D. Timing.

Answer: C

NEW QUESTION # 152

How do index-tracking ETFs differ from index mutual funds?

- A. Index mutual funds only have initial investment and trading fees
- B. Index mutual funds have higher implicit trading costs
- C. ETFs have higher tracking errors
- D. ETFs have higher administrative costs of record-keeping

Answer: B

NEW QUESTION # 153

Which will taxed at the taxpayer' marginal tax rate?

- A. Foreign property valued under \$100,000
- B. Domestic property valued over \$100,00.
- C. Dividends from foreign corporations.
- D. Dividends not eligible for the divided tax credit.

Answer: C

Explanation:

Dividends from foreign corporations are taxed at the taxpayer's marginal tax rate because they are treated as regular income in

Canada. Unlike Canadian dividends, which may qualify for a dividend tax credit to reduce the effective tax rate, foreign dividends do not receive preferential tax treatment under Canadian tax law.

* Marginal Tax Rate: The rate at which the taxpayer's last dollar of income is taxed. Since foreign dividends do not qualify for tax credits, they are taxed as ordinary income.

* Double Taxation Relief: While foreign dividends are fully taxable in Canada, tax treaties between Canada and other countries may allow a foreign tax credit to offset taxes paid to the foreign jurisdiction.

However, this does not alter their treatment under the marginal tax rate.

Other options provided in the question:

* Dividends not eligible for the dividend tax credit (Option C) are usually taxed at a higher rate, but Canadian non-eligible dividends receive some preferential treatment, unlike foreign dividends.

* Foreign property valuation (Options B and D) is relevant for reporting requirements under Canadian tax laws, such as the T1135 Foreign Income Verification Statement, but does not affect the taxation of foreign dividends.

:

CSC Volume 2, Chapter 24: "Canadian Taxation," details the treatment of foreign income, including dividends and foreign tax credits.

NEW QUESTION # 154

Which type of market participant is generally regulated as an alternative trading system?

- A. Pink sheets
- B. Venture exchange
- C. Dark pool
- D. Over-the-counter bulletin board.

Answer: C

Explanation:

An alternative trading system (ATS) is a trading platform that is not a formal stock exchange but allows for the buying and selling of securities. A dark pool is a type of ATS where trade details are not displayed until after execution, providing anonymity to large institutional trades. Other options like venture exchanges, pink sheets, and OTC bulletin boards are not considered ATSs.

References:

* Volume 1, Chapter 9, "Alternative Trading Systems".

NEW QUESTION # 155

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



What was the maximum drawdown during this time period?

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

Answer: B

NEW QUESTION # 156

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