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CSI Canadian Securities Course Exam 1 Sample Questions (Q99-Q104):

NEW QUESTION # 99

Which investment dealer category do discount brokers belong to?

- A. Institution firms
- B. Integrated firm
- C. Boutique firms
- **D. Retail firms**

Answer: D

Explanation:

Discount brokers fall under the category of retail firms. Retail firms cater to individual investors and often provide services such as executing trades at reduced commission rates, but they typically do not offer financial advice or portfolio management. Discount brokers provide online platforms for self-directed investors.

* A. Institutional firms: These firms serve large-scale investors such as pension funds or mutual funds, not individual investors.

* C. Integrated firms: These firms operate in both retail and institutional markets, but discount brokers are specifically associated with retail services.

* D. Boutique firms: These firms specialize in niche markets or services, such as wealth management or specific industry securities, rather than general retail brokerage.

NEW QUESTION # 100

What best describes the liability of limited partners in a limited partnership?

- **A. Their liability is limited to their investment**
- B. They are liable only to the extent of the daily business activities they participate in.
- C. Their liability includes personal assets.
- D. They are not liable for debts and losses incurred in business operations.

Answer: A

Explanation:

In a limited partnership, the liability of limited partners is strictly limited to the amount of their investment in the partnership. They do not participate in the day-to-day management or operational decision-making of the partnership. This characteristic ensures that their personal assets are protected beyond their contribution to the partnership.

If limited partners were to engage in the management of the partnership, they could potentially lose their limited liability protection and be treated as general partners, exposing their personal assets to liability.

This concept is foundational in business structures like limited partnerships, allowing investors to contribute capital without risking their personal wealth beyond the agreed investment.

Study Document References:

* Volume 1, Section on Corporations and Financial Structures: This section discusses different forms of business organizations, including partnerships, and highlights the limited liability of investors in structures like limited partnerships.

NEW QUESTION # 101

What is the best long-term strategy for the municipality to improve its credit rating?

- **A. Increase cash flow through higher business taxes to improve debt repayment ability.**
- B. Negotiate a deal with the provincial government to back up its securities.
- C. Build a strong, exclusive industry with little competition in the region.
- **D. Attract new investments from various industries to increase tax revenue.**

Answer: D

Explanation:

Improving a municipality's credit rating involves adopting sustainable financial strategies that enhance fiscal stability and resilience. Option D, which focuses on attracting diversified investments, is the most effective approach to achieve this goal in the long term.

* A. Increase cash flow through higher business taxes to improve debt repayment ability: Raising business taxes may improve immediate cash flow, but it risks driving businesses away, which can harm the municipality's economic base over time. An over-reliance on higher taxation can discourage investment and stunt growth, making it an unsustainable strategy.

* B. Negotiate a deal with the provincial government to back up its securities: While support from a provincial government can stabilize credit in the short term, it does not address the underlying economic fundamentals. Long-term creditworthiness depends on the municipality's ability to generate and manage its own revenues, reducing dependency on external guarantees.

* C. Build a strong, exclusive industry with little competition in the region: Specializing in a single industry introduces concentration

risk. If the industry declines or faces competition, the municipality's financial base would weaken significantly. Economic diversification is essential to mitigate such risks.

* D. Attract new investments from various industries to increase tax revenue Encouraging investments across multiple industries diversifies the economic base and creates a stable revenue stream. This approach spreads risk, improves fiscal resilience, and aligns with long-term credit rating improvement strategies as outlined in the CSC course materials. By fostering a diverse and dynamic economy, the municipality enhances its ability to service debt and sustain financial health.

Explanation of Options:

* Economic Diversification

* CSC Volume 1 emphasizes the importance of economic diversification for reducing fiscal vulnerabilities and promoting sustainable growth (Chapter 4, "Economic Indicators").

Diversification spreads risk and enhances resilience, making it a key driver for improving credit ratings.

* Municipal Creditworthiness

* Discussions in CSC Volume 2 highlight how a strong, diversified economy underpins municipal credit ratings by providing a consistent and reliable revenue base (Chapter 6, "Municipal Securities").

* Tax Revenue and Economic Growth

* Fiscal strategies discussed in Volume 1 (Chapter 5, "Fiscal Policy") stress the importance of balancing revenue generation with economic incentives to foster investment and growth.

Supporting References from CSC Materials

NEW QUESTION # 102

What obligation does an IA have when communicating information about a preliminary prospectus to prospective investors?

- A. The IA must make a tombstone advertisement.
- B. The IA must provide a greensheet
- C. The IA must ensure 3 proxy is mailed to the investors to vote for approval or disapproval of the offering.
- D. The IA must record the names and addresses of those who have requested and received a preliminary prospectus

Answer: D

Explanation:

Investment advisors (IAs) are required to record the names and addresses of all individuals who have requested and received a preliminary prospectus. This ensures compliance with securities regulations and provides a record for follow-ups and potential disclosures related to the offering.

* A. The IA must ensure a proxy is mailed: Proxy voting is related to shareholder meetings, not the prospectus distribution.

* B. The IA must provide a greensheet: A greensheet is used internally by investment firms, not distributed to clients.

* C. The IA must make a tombstone advertisement: Tombstone advertisements are created by the issuer, not the IA.

NEW QUESTION # 103

What is unique to responsible investment?

- A. It bases investment decisions exclusively on environmental factors.
- B. ESG factors are standardized across the investment industry.
- C. A combination of a values and valuation-based approach to investing
- D. It is unavailable with certain asset classes like segregated funds

Answer: D

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.

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