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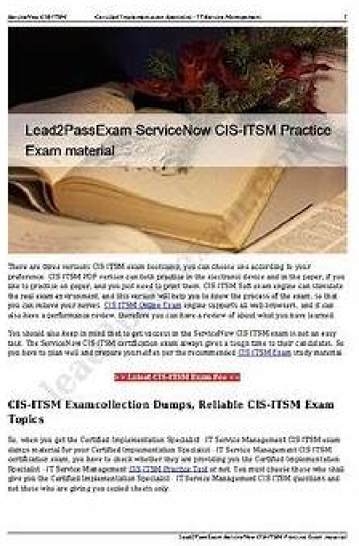

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CSI CSC2 Exam Syllabus Topics:

Topic	Details
Topic 1	• 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 2	• 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 3	• 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	• 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 5	• 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.

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CSI Canadian Securities Course Exam2 Sample Questions (Q38-Q43):

NEW QUESTION # 38
What is unique to responsible investment?

- A. It bases investment decisions exclusively on environmental factors.
- B. ESG factors are standardized across the investment no industry.
- C. It is unavailable with certain asset classes like segregated fundi
- D. A combination of a values and valuation-based approach to investing

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).
* 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.
* D. It bases investment decisions exclusively on environmental factors: RI considers environmental, social, and governance factors, not just environmental concerns.
Reference:CSC Volume 1, Chapter 8, "Responsible Investment - ESG Factors" explains the dual focus of RI on values and valuation.

NEW QUESTION # 39

Which statutory right allows a purchaser to caned their order if a prospectus has a misrepresentation?

- A. Right of rescission.
- B. Right of action for damages
- C. Right of withdrawal.
- D. Right of amended prospectus delivery

Answer: A

Explanation:
Theright of rescissionallows a purchaser to cancel their purchase if the prospectus contains a misrepresentation. This statutory right protects investors by ensuring that they are not bound by transactions based on incorrect or misleading information. Under Canadian securities law, the right of rescission is an important safeguard to maintain market integrity and investor confidence.
This right is distinct from theright of action for damages, which allows investors to sue for compensation, and theright of withdrawal, which permits cancellation within a limited time after agreeing to the purchase, typically two business days.
References:
* Volume 1, Chapter 3:The Canadian Regulatory Environment, section on "Rights of Purchasers" describes the statutory rights related to prospectuses and their misrepresentations.

NEW QUESTION # 40
Who manages trades for institutional clients at a dealer firm?

- A. Liability trader
- B. Investment banker
- C. Market maker
- D. Agency trader

Answer: D

NEW QUESTION # 41
What document must be provided to an investor before they purchase a mutual fund?

- A. The annual audited statements.
- B. A simplified prospectus.
- C. The annual information form.
- D. A Fund Facts document.

Answer: D

NEW QUESTION # 42
A client who seeks advice from an investment advisor but does not require financial planning guidance.
Which platform is most appropriate for this client?

- A. Exchanged-traded fund.
- B. Discount brokerage.
- C. Family office
- D. Self-directed brokerage.

Answer: B

Explanation:
Adiscount brokerageis an ideal platform for clients who seek professional advice but do not require comprehensive financial planning. Discount brokers allow clients to trade securities with minimal fees, offering tools and resources for investment decision-making without the cost of full-service advisory.
* Why This Platform is Appropriate:
* Clients retain control over their portfolios but can access limited advisory services when needed.
* Suitable for investors who are comfortable with self-directed investing and require occasional guidance.
* Why Other Options Are Incorrect:

* A: A family office provides high-end services, including financial planning, making it excessive for this client.
* B: A self-directed brokerage is entirely self-managed, without access to advisory support.
* C: ETFs are an investment product, not a platform.
References:
* CSC Volume 2, Chapter 25: Overview of Fee-Based and Discount Brokerage Accounts.

NEW QUESTION # 43
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There is no denying the fact that everyone in the world wants to find a better job to improve the quality of life. Generally speaking, these jobs are offered only by some well-known companies. In order to enter these famous companies, we must try our best to get some certificates as proof of our ability such as the CSC2 Certification. Nowadays, the CSC2 certification has been one of the criteria for many companies to recruit employees. And in order to obtain the CSC2 certification, taking the CSC2 exam becomes essential.

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