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CSI Canadian Securities Course Exam 1 Sample Questions (Q35-Q40):

NEW QUESTION # 35

What action must an investment advisor take when submitting a trade ticket for a short sale?

- A. Verify the client can borrow the shares.
- B. Mark it as a margin order
- C. Obtain minimum margin amount from client
- D. Mark the sell-order ticket as a short sale

Answer: D

Explanation:

When submitting a trade ticket for a short sale, an investment advisor must mark the sell-order ticket as a short sale. This ensures compliance with regulatory requirements and informs the broker and exchange that the sale involves borrowed shares. Marking the order appropriately helps maintain transparency and enables monitoring for potential market manipulation.

- * A. Verify the client can borrow the shares: The responsibility for ensuring share availability lies with the broker, not the advisor.
- * C. Obtain minimum margin amount from client: This is done separately as part of the account setup and transaction process, not when submitting the trade ticket.
- * D. Mark it as a margin order: Short sales involve margin, but the ticket must specifically indicate "short sale" rather than just "margin."

NEW QUESTION # 36

Billy owns shares of 143 Financing inc, in a discretionary account. He wants to exercise his right to vote at the company's annual general meeting, but will be away on a business trip. Who can vote on Billy's behalf?

- A. His Investment advisor who has discretionary Investment duties
- B. Only by Billy
- C. His dealer as long as there is a signed consent on file
- D. Any person whom he has designated Through a proxy

Answer: D

Explanation:

A shareholder can exercise their voting rights at an annual general meeting either in person or by designating another person to act on their behalf through a proxy. A proxy is a legal document where the shareholder appoints someone else to vote on their behalf. This is critical for shareholders who cannot attend the meeting themselves, as it ensures their voting power is not lost.

NEW QUESTION # 37

When acting as a principal, how do investment dealers generate revenue?

- A. Through brokerage charges.
- B. Through commissions
- C. Through spreads on buy/sell prices.
- D. Through tracers.

Answer: C

Explanation:

When acting as a principal, investment dealers buy and sell securities for their own account. They generate revenue by earning a spread, which is the difference between the price at which they buy securities (bid price) and the price at which they sell them (ask price). This is distinct from their role as an agent, where revenue is earned through commissions on trades executed on behalf of clients.

- * A. Through commissions: Commissions are earned when acting as an agent, not as a principal.
- * B. Through tracers: This term does not apply to revenue generation.
- * C. Through brokerage charges: Brokerage charges relate to fees imposed on client accounts, not principal trading spreads.

NEW QUESTION # 38

What is the difference between sinking funds and purchase funds concerning the redemption of bonds prior to maturity?

- A. Sinking funds involve the issuer determining when bonds are redeemed while purchase funds involve the investor determining when the bonds are redeemed.
- B. Sinking funds can redeem bonds only if they trade below a stipulated price while purchase funds do not have such a requirement.
- C. Sinking funds have mandated redemptions while purchase funds can redeem only upon certain market conditions.
- D. Sinking funds can redeem the bonds any time while purchase funds follow a prearranged schedule.

Answer: C

Explanation:

* Sinking funds require the issuer to redeem a specified portion of the bond issue at regular intervals. This ensures systematic debt reduction and is mandated regardless of market conditions.

* Purchase funds, however, allow the issuer to buy back bonds only if they are available in the market at or below a stipulated price, making redemption conditional on market conditions.

- * B. Sinking funds can redeem bonds only if they trade below a stipulated price: This applies to purchase funds, not sinking funds.
- * C. Sinking funds involve the issuer determining when bonds are redeemed while purchase funds involve the investor determining when the bonds are redeemed: Investors have no role in determining bond redemption under either method.
- * D. Sinking funds can redeem the bonds any time while purchase funds follow a prearranged schedule: Sinking funds follow a schedule, and purchase funds rely on market conditions.

NEW QUESTION # 39

Why would a corporation choose to issue preferred shares rather than debt?

- A. Existing assets have excess financing capacity to justify the issue of preferred shares.
- B. The costs for issuing preferred shares are usually less than debt.
- C. The preferred dividend rate usually varies with the market interest rates
- D. Issuing preferred shares would reduce the amount of leverage.

Answer: D

Explanation:

When a corporation issues preferred shares rather than debt, it avoids increasing its leverage (debt-to-equity ratio). Preferred shares are considered equity for financial reporting purposes and do not require the repayment of principal like debt instruments. Although they may have fixed dividend obligations, these are not legally binding in the way interest payments on debt are.

Issuing preferred shares allows the corporation to strengthen its balance sheet while potentially preserving its credit rating. Preferred shares do not directly affect leverage but provide capital without increasing debt.

References:

* Volume 1, Chapter 8: Preferred Shares, section on "Why Companies Issue Preferred Shares" explains the advantages of using preferred shares instead of debt.

NEW QUESTION # 40

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