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CSI Canadian Securities Course Exam 1 Sample Questions (Q28-Q33):

NEW QUESTION # 28

Where does primary responsibility for gatekeeping in the securities industry reside?

- A. With the provincial securities regulators.
- B. With OS FI
- C. With the CIRO dealer members and all Their employees
- D. With the market surveillance Division of CIRO.

Answer: C

Explanation:

The primary responsibility for gatekeeping in the securities industry resides with CIRO (Canadian Investment Regulatory Organization) dealer members and their employees. This gatekeeping role includes adhering to regulations, implementing Know Your Client (KYC) and Know Your Product (KYP) rules, and ensuring compliance with ethical standards and client-focused reforms.

Dealer members and their employees must ensure that the products and services offered are suitable for their clients and that any potential conflicts of interest are managed appropriately.

Study Document References:

* Volume 1, Chapter 3: The Gatekeeper Role in Securities Regulation, focusing on the responsibilities of CRO dealer members.

NEW QUESTION # 29

Why does the federal government borrow from the capital markets?

- A. To support The capital markets
- **B. To fund spending In excess of revenues**
- C. To support the expansion of corporations
- D. To raise capital for streets, sewers and waterworks

Answer: B

Explanation:

The federal government borrows from the capital markets to cover budget deficits, which occur when government spending exceeds its revenues. Borrowing is done through the issuance of fixed-income securities such as Treasury bills, bonds, and notes. This process enables the government to fund public services, programs, and infrastructure projects without immediately raising taxes.

* A. To raise capital for streets, sewers, and waterworks: While such projects are funded by borrowing, they are typically under the purview of municipal or provincial governments rather than the federal government.

* B. To support the capital markets: This is an indirect result but not the primary reason for borrowing.

* D. To support the expansion of corporations: Corporate expansion is financed through private or corporate capital markets, not federal borrowing.

NEW QUESTION # 30

On what basis are government securities awarded at the auction average yield?

- **A. Non-competitive lender.**
- B. Dealer market system
- C. Open market
- D. Schedule III banks

Answer: A

Explanation:

Government securities are awarded at auction using both competitive and non-competitive bidding. In a non-competitive bid, the participants (such as smaller investors or institutions) agree to accept the average yield determined by the competitive bidding process. This mechanism ensures equitable access to government securities without the need to compete directly on yield, promoting broad participation in the market.

NEW QUESTION # 31

Anwar is placing a market order to purchase 100 shares of AJL when the bid/ask is \$10.25/\$10.75. Before the trade is complete, the bid/ask moves to \$10.20/\$10.70. What is the share price that Anwar will pay on the purchase transaction?

- **A. \$10.70**
- B. \$10.75
- C. \$10.20
- D. \$10.29

Answer: A

Explanation:

A market order executes immediately at the best available ask price for a purchase transaction. In this case, the bid/ask initially was \$10.25/\$10.75. However, before execution, the ask price updated to \$10.70, meaning Anwar will pay \$10.70 per share.

* B. \$10.75: This was the previous ask price but is no longer valid after the update.

* C. \$10.29: This value is not relevant to the current bid/ask spread.

* D. \$10.20: This represents the updated bid price, which applies to sell orders, not buy orders.

NEW QUESTION # 32

The consumer price index was 125.9 in December of last year and 123.0 in December of the year before. What was the inflation rate last year?

- A. 0.98%
- **B. 2.36%**
- C. 2.30%
- D. 1.02%

Answer: B

Explanation:

The inflation rate is calculated using the formula:

$$\text{Inflation Rate} = \frac{\text{CPI}_{\text{current}} - \text{CPI}_{\text{previous}}}{\text{CPI}_{\text{previous}}} \times 100$$
$$\text{Inflation Rate} = \frac{125.9 - 123.0}{123.0} \times 100 = 2.36\%$$

Substitute the given values:

$$\text{Inflation Rate} = \frac{125.9 - 123.0}{123.0} \times 100 = 2.36\%$$

* B. 2.30%: This is close but results from rounding errors or miscalculation.

* C. 0.98% and D. 1.02%: These values are far below the correct inflation rate calculated using the formula.

NEW QUESTION # 33

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