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CFA Institute Sustainable Investing Certificate (CFA-SIC) Exam Sample Questions (Q400-Q405):

NEW QUESTION # 400

In a linear economy:

- A. production results in non-recyclable waste.
- B. some post-use materials are recycled.
- C. all materials are recycled back into production.

Answer: A

Explanation:

A linear economy follows the "take-make-dispose" model: resources are extracted, manufactured into products, and ultimately discarded as non-recyclable waste. In contrast, a circular economy (not described here) seeks to reuse, recycle, and recover materials. Only in a circular system (option A or C) are materials recycled or reused, whereas linear systems produce waste with

minimal resource recapture.

NEW QUESTION # 401

Which of the following statements is most accurate? Assessments of the level of ESG capabilities of different fund managers:

- A. Are performed using different methodologies
- B. Only use data from audited data sources
- C. Are comparable

Answer: A

Explanation:

ESG assessments of fund managers vary widely because different providers use proprietary methodologies, data sources, and weightings. There is no universal standard for measuring ESG integration across asset managers, leading to inconsistencies in ratings. For instance, MSCI, Sustainalytics, and FTSE Russell all have different scoring models, leading to variations in ESG rankings for the same fund manager.

Reference:

Principles for Responsible Investment (PRI) Guide on ESG Evaluation

CFA Institute ESG Integration Framework

MSCI vs. Sustainalytics ESG Rating Methodologies

NEW QUESTION # 402

The potential impacts of climate risk on asset allocation strategies are:

- A. systemic but not local.
- B. local but not systemic.
- C. both local and systemic.

Answer: C

Explanation:

Climate risks have both local and systemic impacts on asset allocation. Local risks pertain to specific regions or industries, while systemic risks can affect the entire financial system due to the global nature of climate change. (ESG Textbook [Pallas CatFin], Chapter 3, Page 139)

NEW QUESTION # 403

Which of the following most likely protects minority shareholders?

- A. Dual-class shares
- B. Pre-emption rights
- C. Double voting rights

Answer: B

Explanation:

Pre-emption rights give existing shareholders priority when new shares are issued, preventing dilution of their ownership stakes. This is a key protection for minority shareholders.

Dual-class shares (A) and double voting rights (C) favor controlling shareholders, reducing minority shareholder influence.

Reference:

OECD Corporate Governance Principles

CFA Institute Minority Shareholder Protection Report

UK Companies Act on Pre-Emption Rights

NEW QUESTION # 404

A company establishing a sustainability office in the absence of ESG policies and actions would be an example of:

- A. Scopewashing
- B. Greenhushing
- C. Competence greenwashing

Answer: C

Explanation:

The OTM discusses the phenomenon of "competence greenwashing" defining it as:

"Situations where organizations claim to have the capacity or structures to manage ESG issues, such as appointing sustainability officers or teams, but demonstrate no substantive policy, strategy, or outcomes to justify those claims." This description matches the scenario exactly—a firm setting up a sustainability office without implementing or reporting genuine ESG actions. The manual contrasts this with "greenhushing," where companies downplay sustainability activities, and "scopewashing," where emissions or ESG boundaries are misrepresented.

Thus, competence greenwashing refers to overstating institutional readiness or capability without execution, making option C the correct and verified answer.

Reference: 2021-Final-Book.pdf, Chapter 1 - Introduction to ESG; Section on ESG Misrepresentation and Greenwashing Types.

NEW QUESTION # 405

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