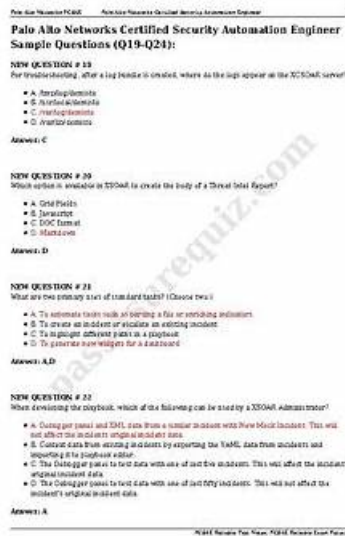


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CSI Canadian Securities Course Exam 1 Sample Questions (Q30-Q35):

NEW QUESTION # 30

Which derivatives transaction has the greatest default risk?

- A. Exchange-traded equity option contract between an individual investor and a dealer.
- **B. Interest rate forward agreement between an investment dealer and a corporation.**
- C. Individual investor buying shares on an exchange during the ex-rights period.
- D. Individual investor entering future contract with an institutional investor.

Answer: B

Explanation:

An interest rate forward agreement (FRA) is an over-the-counter (OTC) derivative contract. Unlike exchange-traded derivatives, OTC contracts are not centrally cleared, meaning there is no intermediary to guarantee performance. This increases counterparty (default) risk, making FRAs inherently riskier than exchange-traded contracts.

* A. Individual investor buying shares on an exchange during the ex-rights period: This is a standard transaction involving equity securities, not derivatives, and carries no default risk.

* C. Exchange-traded equity option contract between an individual investor and a dealer: Exchange-traded derivatives are backed by a clearinghouse, which mitigates default risk.

* D. Individual investor entering a futures contract with an institutional investor: Futures contracts are also exchange-traded and centrally cleared, reducing default risk.

NEW QUESTION # 31

When shares of GHI Inc. (GHI) traded at \$50, an investor wrote five "GHI December 45" puts for a premium of \$1.20. How much cash must the investor have in their account to be a cash-secured out writer?

- A. \$25,000
- **B. \$21,900**
- C. \$22,500
- D. \$24,400

Answer: B

Explanation:

The investor wrote 5 put options ("GHI December 45") at a strike price of \$45 with 100 shares per contract ($5 \times 100 = 500$ shares). The cash-secured amount ensures the writer can cover the purchase if exercised:

* Obligation Amount: $500 \text{ shares} \times \$45 = \$22,500$.

* Premium Received: $\$1.20 \times 500 = \600 .

* Net Cash Requirement: $\$22,500 - \$600 = \$21,900$.

This ensures the investor has enough funds to purchase the shares if the put options are exercised.

NEW QUESTION # 32

What is the requirement established by the Canadian Radio-television and Telecommunications Commission that applies to an advisor who is cold calling potential new clients?

- A. An advisor must advise DNCL registrants within the first minute that it is a sales call
- B. An advisor must make sales calls only during regular business hours
- C. An advisor must not call any person who has been a DNCL registrant for more than one day
- **D. An advisor must subscribe to the National Do Not Call List (DNCL)**

Answer: D

Explanation:

Advisors making cold calls to potential clients must comply with the Canadian Radio-television and Telecommunications Commission's (CRTC) regulations, which include subscribing to the National Do Not Call List (DNCL). This ensures they do not call individuals registered on the DNCL, protecting consumers from unwanted solicitations.

References:

* Volume 1, Chapter 3: The Canadian Regulatory Environment, section on "Ethical and Legal Standards" includes compliance

requirements related to cold calling, such as the DNCL regulations.

NEW QUESTION # 33

KJR made the following warrants offering:

Terms	
Exercise price of warrants	\$30
Market price of 1 warrant	\$5
Market price of 1 KJR Inc. common share	\$32
Number of warrants issued	2 million
Number of common shares outstanding prior to the exercise of any warrants	8 million
1 warrant required to purchase 1 common share	

What is the intrinsic value of 1 KJR inc, warrant?

- A. \$0
- **B. \$2**
- C. \$5
- D. \$3

Answer: B

Explanation:

The intrinsic value of a warrant is calculated as the difference between the current market price of the common share and the exercise price of the warrant, provided the market price of the share is higher than the exercise price.

$$\text{Intrinsic Value} = \text{Market Price of Common Share} - \text{Exercise Price of Warrant}$$

$$\text{Intrinsic Value} = \text{Market Price of Common Share} - \text{Exercise Price of Warrant}$$

Using the values provided:

* Market Price of 1 KJR Inc. Common Share = \$32

* Exercise Price of Warrants = \$30

$$\text{Intrinsic Value} = \$32 - \$30 = \$2$$
 Since the market price of the share is greater than the exercise price, the intrinsic value is \$2.

Explanation of Incorrect Options:

- * Option A (\$0): This would be correct if the exercise price were greater than or equal to the market price of the common share.
- * Option B (\$5): This incorrectly includes the market price of the warrant (\$5), which is irrelevant to intrinsic value calculation.
- * Option D (\$3): This is not derived from the given data and calculations.

References:

* Canadian Securities Course (CSC), Volume 1, Chapter 8: Equity Securities - Common and Preferred Shares. Discussion on warrants, including intrinsic value calculations.

NEW QUESTION # 34

What is one of the advantages for the company when shares are publicly listed?

- **A. Shareholders goodwill**
- B. Additional disclosure.
- C. Additional controls on management
- D. Need to keep market participants informed.

Answer: A

Explanation:

One advantage of public listing is the goodwill generated among shareholders. Public listing enhances the company's visibility, credibility, and reputation, which can attract investors, customers, and business partners.

This goodwill often facilitates access to capital and strengthens the company's market presence.

Study Document References:

* Volume 1, Chapter 12: Advantages of Public Listing, outlining benefits such as goodwill and increased capital access.

NEW QUESTION # 35

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