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CSI Canadian Securities Course Exam 1 Sample Questions (Q41-Q46):

NEW QUESTION # 41

What is the most cost-effective channel an investor can use to invest in derivative products?

- **A. A self-director broker**
- B. An investment boutique
- C. An integrated firm
- D. A full-service broker

Answer: A

Explanation:

Self-directed brokers are the most cost-effective option for investing in derivatives. They provide a platform for investors to execute trades independently without the additional costs associated with advisory services offered by full-service brokers. Investors are

charged lower transaction fees, making this option ideal for cost-conscious individuals who are comfortable making their own investment decisions.

* B. A full-service broker: Full-service brokers charge higher fees because they provide additional advisory and management services.

* C. An integrated firm: Integrated firms offer both retail and institutional services, which generally come with higher fees compared to self-directed platforms.

* D. An investment boutique: Boutique firms typically specialize in niche markets and may have higher service costs, which are not ideal for cost-effective derivatives trading.

NEW QUESTION # 42

What is an example of a common feature of robo-advisor services?

- A. Portfolios are built primarily with individual stocks and bonds.
- B. The portfolios are rarely rebalanced
- C. A telephone call with an advisor verifies that the computer-generated portfolio is suitable for the client.
- D. The service is exclusively provided to intermediaries such as advisors and employers

Answer: C

Explanation:

Many robo-advisors offer a hybrid model where an automated portfolio recommendation is supplemented by human oversight. A telephone call with an advisor ensures the portfolio generated by the algorithm aligns with the client's risk tolerance and investment objectives. This step helps meet regulatory suitability requirements.

* A. The service is exclusively provided to intermediaries such as advisors and employers: Robo-advisors are directly available to retail clients and are not exclusive to intermediaries.

* B. The portfolios are rarely rebalanced: Robo-advisors typically offer frequent or automatic rebalancing to maintain target asset allocations.

* C. Portfolios are built primarily with individual stocks and bonds: Robo-advisors predominantly use ETFs for diversification and cost-efficiency, not individual securities.

NEW QUESTION # 43

An investor has earned additional income and is looking to invest in a security that guarantees returns over

the next seven years. What is the best option for purchase?

- A. Provincial saving bond
- B. Exchange-traded fund.
- C. Common shares
- D. Preferred shares

Answer: A

Explanation:

Provincial savings bonds are a suitable option for an investor seeking a guaranteed return over a fixed period, such as seven years. These bonds are backed by the credit of the issuing provincial government and provide a stable and secure investment, ensuring predictable returns. They are often issued during specific sales campaigns and offer safety comparable to federal bonds but tailored to provincial residents.

Other options:

* Preferred shares: Provide fixed dividends but do not guarantee returns.

* Common shares: Subject to market risk and do not offer guaranteed returns.

* Exchange-traded funds (ETFs): Can track bonds or equities but are subject to market fluctuations and do not guarantee returns.

References:

* Volume 1, Chapter 6: Fixed-Income Securities, section on "Provincial and Municipal Bonds" explains the features and security of provincial savings bonds.

NEW QUESTION # 44

What is a key assumption of the expectations theory?

- A. The yield curve represents the supply of and demand for bonds of various terms, which are primarily influenced by the bigger players in each sector
- **B. investors buying a single long-term bond should be earning the same amount of interest as they would by buying two short-term bonds of equal combined duration.**
- C. Current short-term interest rates foreshadow future long-term rates.
- D. Investors prefer short-term bonds because they are more liquid and less volatile in price

Answer: B

Explanation:

The expectations theory assumes that the yield on a long-term bond reflects the expected future short-term interest rates. According to this theory, investors are indifferent to holding a single long-term bond or a series of short-term bonds that collectively match the duration of the long-term bond, as the total interest earned should be the same.

Study Document References:

* Volume 1, Chapter 7: Term Structure of Interest Rates and Yield Curve Theories, including the expectations theory and its assumptions.

NEW QUESTION # 45

An investor feels unfairly treated by a stockbroker regarding a set of transactions. After a discussion of the situation between the investor and the member, the investor and the member, the investor is still dissatisfied.

What is the best request that the investor could make to seek compensation?

- A. An investigation by the Ombudsman for Banking Service and investments.
- **B. An Independent arbitration.**
- C. A payment from the Canadian Investor Protection Fund.
- D. A rescission of the objectionable trades.

Answer: B

Explanation:

When an investor feels unfairly treated by a stockbroker, and the issue is not resolved through direct discussion with the member firm, the next step often involves pursuing a formal dispute resolution mechanism. The options available in the Canadian securities industry for handling such disputes include:

* Rescission of the objectionable trades:

* This would involve canceling or reversing the trades in question. However, rescission is rarely granted and typically occurs only if there is clear evidence of fraud or legal impropriety. It is not the best initial course of action for dispute resolution.

* Payment from the Canadian Investor Protection Fund (CIPF):

* The CIPF protects clients of member firms in the event of the firm's insolvency, not disputes over trades or treatment by a broker. Therefore, this is not applicable in this case.

* Independent arbitration:

* Arbitration is a widely recognized method of resolving disputes in the securities industry. It involves an independent arbitrator reviewing the case and issuing a binding decision. It is particularly suitable for cases where discussions between the investor and the firm have not resolved the issue.

* Investigation by the Ombudsman for Banking Services and Investments (OBSI):

* OBSI offers a dispute resolution service for clients of financial institutions, including investment dealers. However, OBSI's findings are non-binding, meaning they cannot compel the member firm to act or pay compensation. Arbitration, on the other hand, provides a binding resolution.

Why Arbitration is the Best Option:

Independent arbitration is a more definitive course of action because it results in a binding decision that both the investor and the broker must adhere to. Arbitration is designed to handle precisely the type of disputes described in the question and ensures a fair process overseen by an impartial third party.

References:

* Canadian Securities Course Volume 1:

* Section on Dispute Resolution and Investor Protection: Arbitration is discussed as a key method for resolving disputes where the investor seeks a binding resolution.

* Role of the Canadian Investor Protection Fund: The CIPF is explained as providing coverage for insolvency, not dispute resolution.

* Role of the Ombudsman for Banking Services and Investments (OBSI): OBSI is explained as offering non-binding recommendations, making it less suitable for cases where binding decisions are needed.

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