

Canadian Securities Course – Section 1 Quiz: Chapters 1 to 3

Which department in a large, integrated investment firm is responsible for compliance, accounting, audits and legalities?

- A. Front office.
- Good choice!
- B. Middle office.
- C. Management.
- D. Back office.

Feedback: The middle office includes such areas as compliance, legal, accounting and audit.

Reference | Chapter 1: The Canadian Securities Industry

2. An investment dealer has made a commitment to maintain the liquidity of a specific security trading in the market. What can the dealer do to meet this commitment?

- A. Act as agent in any transaction for the security.
- B. Act as broker in any transaction for the security.
- Good choice!
- C. Hold shares of security in inventory to ensure availability.
- D. Guarantee to always buy the security at the ask price.

Feedback: The dealer may also complete a separate buy or a separate sell transaction from its own inventory. There is no need to wait for simultaneous, matching buy-sell orders from other investors to complete an order. The relative speed and ease with which purchases or sales may be made from inventory greatly adds to the liquidity of already issued securities.

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3. What is the ethical barrier, designed to avoid conflicts of interest, that restricts access to non-public information between different areas of a bank?

- A. Compliance.
- B. Internal control.
- Good choice!
- C. Firewall.
- D. Divisional structure.

Feedback: While banks are permitted under current legislation to take part in diverse sectors of the financial services industry, there are controls on how they do so and on the sharing of customer information between subsidiaries. The controls that inhibit information sharing between various businesses and business units are commonly known as Information Barriers or "Firewalls".

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