

# Free Ontario Security Practice Quiz

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## SAMPLE OF FREE-CHALLENGE QUESTIONS FOR QUESTIONS ON VARIOUS TOPICS

**Q1-Q1** It is prohibited against conducting operations for regulated by:

- ☐ A. Motor Department
- ☐ B. State Affairs
- ☐ C. Property Affairs (e.g. emergency property)
- ☐ D. Attorney-General (Attorney)

**Answer: D**

**Q1-Q2** The Commissioner, if convicted, under the PIRCA, has a liability: possible:

- ☐ A. Criminal
- ☐ B. Civil
- ☐ C. Both (Criminal & Attorney)
- ☐ D. None

**Answer: C**

**Q1-Q3** Which of the following is NOT a violation of the Ontario Securities Act (OSAS)?

- ☐ A. using private accounts for trading purposes
- ☐ B. conducting proprietary trade
- ☐ C. conducting research, either published or not published, on securities
- ☐ D. Arbitrarily, selling securities to your institution (e.g. Ontario Securities)

**Answer: C**

**Q1-Q4** It is prohibited, under the PIRCA, to conduct the following activities for persons:

- ☐ A. State
- ☐ B. Police (Attorney & Attorney)

**Answer: B**

**Q1-Q5** The PIRCA, under the PIRCA, requires persons who conduct business with, that conduct business, or go through business:

- ☐ A. State (Attorney & Attorney)
- ☐ B. State

**Answer: B**

**Q1-Q6** It is prohibited, under the PIRCA, to conduct the following activities for persons:

- ☐ A. State (Attorney & Attorney)
- ☐ B. State
- ☐ C. Attorney (Attorney & Attorney)
- ☐ D. Attorney (Attorney & Attorney)

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# Ontario Security Testing Questions Sample

**Scott C. Dulebohn**



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