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Graded Assignment

Qualified Assessment

1. Which of the following statements is true of Primary Markets?

- ☐ An Investment Bank's Origination team is not involved in Primary Markets
- ☐ It is where only existing securities are traded amongst fund managers/institutional investors
- ☐ Primary markets are only for fundraising via equity issuance
- ☒ It is the place for first time offerings of new issue securities (i.e. where new securities are issued)

✔ Correct

Assignment details

Due
Jan 17, 11:59 PM IST

Attempts
Unlimited

⌛ Retry

Submitted
Jan 6, 1:57 PM IST

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2. Which of the following statements is true of Secondary Markets?

- ☐ Debt or equity initial public offerings (IPOs) would take place in Secondary Markets
- ☐ New securities are issued in Secondary Markets
- ☒ Secondary Markets - often called Secondaries - is where investors trade existing securities amongst each other
- ☐ Secondary Markets involve an issuing corporation/institution/organization that is raising funds by either borrowing funds and issuing bonds, or selling interest in the company by issuing shares

✔ Correct

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3. What is the name of the team at an Investment Bank that helps facilitate the process of bringing new issue securities to market?

- ☐ Trading
- ☐ Sales
- ☐ Industry group coverage team
- ☒ Origination

✔ Correct

1 / 1 point

4. What is the best description of the role of a Capital Markets Salesperson? (Ex. Equity Sales, Fixed Income Sales)

- ☐ To provide deep financial analysis on companies and publish regular publications for buy-side clients
- ☐ To be a market maker on securities, providing quotes on price and size for trades to clients
- ☐ To work with their respective Debt or Equity Capital Markets Origination team to bring new issue deals to the bank
- ☒ To be the relationship manager and gatekeeper for buy-side clients

✔ Correct

1 / 1 point

5. What is the primary focus of a job as a Capital Markets Trader?

- ☐ To provide financial advisory services on mergers and acquisitions across all industries
- ☐ Create, maintain and manage relationships with Portfolio Managers at buy-side firms
- ☐ Publish regular, as well as ad-hoc publications with deep research insights on public companies debt or equity
- ☒ Make markets on securities, support new issues in secondaries, and do so profitably for the bank

✔ Correct

1 / 1 point

6. What is the best description of the role of Research teams on the sell-side?

- ☐ To pool investors money into a fund and invest in high-growth startups of all stages, help nurture growth, and exit profitably
- ☐ To call bank clients daily to touch base, give market commentary, and inquire if they would like to execute any trades
- ☐ To be market makers on securities and manage trading flow for the bank in a profitable way
- ☒ To provide deep analysis and insights on companies, and entire industries for bank clients, as well as its internal Sales & Trading team

✔ Correct

1 / 1 point

7. What two main groups are buy-side institutions grouped into based on their fund mandates?

- ☐ Debt and Equity
- ☐ Buy-side and Sell-side
- ☒ Traditional and Non-Traditional
- ☐ Private and Non-Private

✔ Correct

1 / 1 point

8. Which of the following are considered Traditional buy-side firms? Select ALL correct answers.

☒ National pension funds

✔ Correct

☐ Hedge Funds

☒ Mutual Funds

✔ Correct

☐ Venture Capital

1 / 1 point

9. Certain buy-side firms take material interest in companies, and focus on achieving returns through management influence. Which of the firms below does this?

☒ Non-Traditional: Venture Capital and Private Equity

✔ Correct

☐ Traditional: Pension Funds

☐ Traditional: Mutual Funds

☒ Non-Traditional: Hedge Funds

✔ Correct

1 / 1 point

10. Which of the following statements is true about buy-side firms and primary markets?

- ☐ Buy-side firms do not participate in primary markets in any way
- ☐ Buy-side firms assist in bringing new issue securities to market by underwriting equity or bond deals
- ☒ Buy-side firms participate in primary markets by buying new issue securities from broker/dealers

✔ Correct

1 / 1 point

