

Series 79 - Investment Banking Representative Exam Practice Test Questions and Answers

1. What does a risk matrix assess?

- A) The probability and impact of identified risks
- B) Only the financial cost of risks
- C) The number of employees affected
- D) The timeline for risk resolution

2. What is the purpose of a risk register?

- A) To document, track, and manage all identified risks throughout a project or operation
- B) To eliminate all risks before starting work
- C) To assign blame when problems occur
- D) To satisfy audit requirements only

3. Why is regular risk reassessment important?

- A) Because the risk landscape changes as conditions, activities, and environments evolve
- B) Because regulators require it exactly once per year
- C) Because it provides work for risk management teams
- D) Because initial assessments are always wrong

4. In capital markets, a 'bought deal' refers to:

- A) An acquisition where the buyer pays entirely in cash
- B) An underwriter committing to purchase an entire securities offering from the issuer before marketing it to investors
- C) A secondary block trade executed after market hours
- D) A competitive bidding process for a government bond auction

Answers: 1-A 2-A 3-A 4-B

For More Series 79 - Investment Banking Representative Exam Questions and Answers FREE, Series 79 - Investment Banking Representative Exam Online Prep Training, Series 79 - Investment Banking Representative Exam Exam, Series 79 - Investment Banking Representative Exam Study Guide, Series 79 - Investment Banking Representative Exam Flashcards, Series 79 - Investment Banking Representative Exam Quizzes visit:

Series 79 - Investment Banking Representative Exam Practice Test