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conducted by FINRA,

four major functions

were found to be the

responsibilities of

entry-level

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investment bankers.
Under each function,
major tasks were
identified that were
required to be
performed.

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SEC filings and other documents) Various types of securities (debt, equity, options, derivatives)
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four major functions were found to be the responsibilities of entry-level investment bankers. Under each function, major tasks were identified that were required to be performed.

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Comprehensive guide
to the range of topics
covered on the exam,
as well as the depth
of knowledge
required. The outline
is comprised of the
three major job
functions of an
investment banking
representative. The
table below lists the
allocation of exam
items for each major

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