



## Overview of Capital Markets

Why do capital markets exist? Capital markets exist because issuers have needs and investors seek opportunities. This one-day session will explore the markets for securities where companies and individuals can go to raise funds and invest funds.

### Available Session(s):

No sessions currently available. Email [customerservice@nyif.com](mailto:customerservice@nyif.com) to get the next available date.

### Targeted Audience

Anyone new to the financial services industry, sales people, back-office professionals, staff assistants, auditors, IT professionals

### Special Offer

Clients who register for this course will receive a complimentary 6 month subscription to the Financial Times and FT.com. The Financial Times is the world's most respected financial newspaper providing a broad assessment on finance, business and the industrial sector. Subscriptions will start within 6-8 weeks of the application process, and are limited to one per client. For questions about your subscriptions call 800-628-8088 or email [uscirculation@ft.com](mailto:uscirculation@ft.com). US and Canada enrollees only.

### Advance Preparation

No advance preparation required.

### Prerequisites

None

### Learning Objectives

Students will be able to:

- Gain a greater understanding of the key securities in US capital markets
- Differentiate among the players in the Capital Markets
- Understand equities as a distinct asset class
- Understand fixed income as a distinct asset class
- Be able to distinguish municipal bonds from corporate bonds

- Know the risks associated with each product
- Understand the purpose and importance of each type of security

## **Alumni Comments**

*"The instructor was very knowledgeable and entertaining."*

**Level:** Basic

**CPE Credits:** 7

**Instructional Method:** Group-Live

## **Detailed Outline**

### **AM Topics**

- Function of Financial markets
- Financial Intermediaries
- Market participants
- Size of the Market
- Money Markets versus Capital Markets
- The Private versus the Public sector
- Fixed Income products

### **PM Topics**

- Debt instruments
- The Underwriting Process
- Industry Specific Risks
- The Exchanges
- Rating agencies and their role
- Derivatives
- Recent Trends in the industry

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