



ACCREDITED TRAINING PROVIDER

# Global Operations Management

The Diploma in Investment Operations offers practitioners the opportunity to specialise in the administration of investment funds and custody and settlement. Global Operations Management is the final step in this Diploma and offers candidates an in-depth focus on operations and settlement procedures in order to service effectively the operations and settlement needs of a firm and its clients

## Course Objectives

The purpose of this four day course is to take candidates through the Global Operations Management syllabus focusing on course content as well as on the exam preparation.

## Who should attend?

This qualification is appropriate for experienced practitioners working in the Operations field.

## Our unique 4 day classroom led training course features:

- Content rich PowerPoint slides
- Up-to-date and relevant case studies
- In-depth analysis of course topics
- Smaller class sizes which focus more on teacher/student interactions
- An expert trainer with practical industry experience

## Progressive study pathways and prerequisites:

- We strongly advise candidates to have completed the Advanced Certificate in Global Securities or both the Level 3 Operational Risk and Level 4 Managing Operational Risk in Financial Institutions before attempting this qualification.
- To achieve the **Level 6 CISI Diploma in Investment Operations** combine this qualification with the **Advanced Certificate in Global Securities** or both the **Level 3 Operational Risk** and **Level 4 Managing Operational Risk in Financial Institutions**.
- Please note that it will generally take candidates between 18 months to 2 years to complete this Diploma.



**Course Director: Dennis Cox** is a leading financial services risk management

specialist serving banks, regulators and financial institutions globally, with a career encompassing HSBC, Prudential Portfolio Managers, Ernst & Young, BDO Binder Hamlyn and Arthur Young.

Dennis has in-depth knowledge, expertise and practical know-how of Risk management, Bank Internal Audit, Compliance & Financial Crime/Cyber Security in addition to Wealth Investment Management, Financial Markets (Bonds, Securities), Asset & Fund Management, and UK, USA & international Regulation.

He sees risk management as a driver for organizational change in banking, and provides senior level risk advice to major financial institutions globally. His published works on Risk Management, Audit and Financial Crime Deterrence are considered industry standards.

**Advanced Preparation: Yes**  
**Training Type: Classroom**  
**Learning Level: Advanced**  
**Field of Study: Operations**

**This training course is scheduled for:**

**London UK, 4 days**  
March 12 – 15, 2018  
September 3 - 6, 2018

**The price per delegate for this 4-day programme is £2,495**  
(+ UK VAT when applicable)

1:1 training courses available at 2x per delegate price!

**For an in-house training option, alternative dates and locations are available.**  
We are happy to add extra content to the programme to meet additional requirements from your company. Please contact us for further information.

[www.riskrewardlimited.com](http://www.riskrewardlimited.com)

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## Detailed Course Outline

### Session 1: Instruments and Characteristics

- Equities
- Fixed Income
- Funds
- Money Markets
- Financial derivatives

### Session 2: Trading

- Trade cycle - from order through to confirmation
- Rules and characteristics of major exchanges in UK, Europe, USA and Asia-Pacific
- Recognised investment exchanges
- Knowledge of the major considerations in off exchange trading
- Trading platforms

### Session 3: Settlement and Clearing

- Processes involved in the Settlement of instruments
- Central securities depositories (CSDs)
- Central counterparties (CCPs)
- Settlement discipline regimes operated in major markets

### Session 4: Regulation and Compliance

- UK regulatory framework
- EU legislation
- Other major regulatory bodies

### Session 5: Risks and Controls

- Operational risk
- Other types of risk
- Risk control
- Audit
- IT and systems development

### Session 6: Asset Servicing and Custody

- Income collection
- Corporate actions
- Corporate governance/proxy voting
- Custody
- Fund administration

Course schedule:

Full day classroom training  
09:30 – 17:00



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# Global Operations Management (London)

## Registration & Payment details

Please mark **X** in the box and complete the form with BLOCK LETTERS

Dates:

March 12 - 15, 2018

September 3 - 6, 2018

### Course Fee (per person):

GBP £2,495 (+ UK VAT when applicable)

Email\* \_\_\_\_\_

First name\* \_\_\_\_\_

Last name\* \_\_\_\_\_

Job title / Position \_\_\_\_\_

Department \_\_\_\_\_

Company Name \_\_\_\_\_

Company Address \_\_\_\_\_

City \_\_\_\_\_

Postcode \_\_\_\_\_

Country\* \_\_\_\_\_

Telephone (direct)\* \_\_\_\_\_

Telephone (main) \_\_\_\_\_

Approving Manager \_\_\_\_\_

Training Manager \_\_\_\_\_

Please tick that box if you don't want to be subscribing to the Global Risk Update magazine.

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**Terms and Conditions** All cancellations must be received in writing 20 working days prior to the start of the course with acknowledgement from Risk Reward. Course fees must therefore be paid in full if a cancellation occurs within 20 working days of the start of the course. We are always happy to welcome a replacement onto the course. Kindly send us written notification of your replacement by email, fax or telephone. Written cancellations received 20 working days or more before the start date of the course receive a full refund less a charge of 20%. For any written cancellation requests that reach us less than 20 working days before the event, no refunds will be given. Risk Reward reserves the right to the final decision if any dispute arises.

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\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Examination policy:**  
You will need to book their examination and register for their membership directly through the CISI.  
Candidates who are attending the training are advised to purchase the workbook from CISI.