



ACCREDITED TRAINING PROVIDER

# Diploma in Investment Operations: 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 and internal audit 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 specialises his risk advisory services and lectures on the balance of risk management and the modernisation of internal audit and the auditing of compliance risk areas. He also addresses risk management as a driver for organisational change in banking, and risk-based bank internal audit. He is a specialist in risk and audit for bank departments and functions including credit, treasury, operations and accountancy issues related to the Basel Accord and the dynamics of changing regulation and business banking competitiveness

**Advanced Preparation: Yes**

**Training Type: Classroom**

**Learning Level: Advanced**

**Field of Study: Operations**

**This training course is scheduled for:**

**London UK, 4 days**

March 20 – 23, 2017

November 20 – 23, 2017

**The price per delegate for this 4-day programme is £2,495**

(+ UK VAT when applicable)

**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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# Global Operations Management

## 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  
AM session 09:30 – 12:30  
PM session 13:30 – 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 20 – 23, 2017

November 20 – 23, 2017

### 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 \_\_\_\_\_

Payment Details

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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 £150. 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

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Date

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