



ACCREDITED TRAINING PROVIDER

# Introduction to Securities & Investment (International)

This introductory global qualification has been designed specifically with new entrants to the global investment industry in mind. This qualification covers the basics of the Economic Environment with an introduction to financial services with a particular focus on Investment.

## Course Objectives

The purpose of this two day course is to equip delegates with the necessary knowledge and exam techniques to prepare them for the exam for this qualification.

## Who should attend?

This qualification is appropriate for new entrants to financial services with an interest in global investments.

## Our unique 2 day classroom led training course includes:

- Content rich PowerPoint slides
- Up-to-date and relevant case studies
- A sample practice paper
- Smaller class sizes which focus more on teacher/student interactions
- An expert trainer with practical industry experience

## Progressive study pathways:

- This qualification can be taken as a **stand-alone unit** or taken as part of Investment Operations Certificate (IOC).
- To achieve the CISI **Investment Operations Certificate (IOC)** combine any three Technical, Regulatory or Introductory units (please see the final page for options)



### Course Director:

**Dennis Cox** is a leading financial services risk

management and internal audit specialist serving banks, regulators and financial institutions globally, with a carrier 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: None**

**Training Type: Classroom**

**Learning Level: Introduction**

**Field of Study: Financial Markets**

**This training course is scheduled for:**

**London UK, 2 days**

February 23 – 24, 2017

June 08 – 09, 2017

October 10 – 11, 2017

**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.

**The price per delegate for this 2-day programme is £1,050**

(+ UK VAT when applicable)

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

**Risk Reward Ltd 47C Limeharbour, 2nd Floor, London E14 9TS, UK**

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# Introduction to Securities & Investment

## Detailed Course Outline

### Session 1: Introduction

- The Financial Services Industry

### Session 2: Economic Environment

- Economic Environment

### Session 3: Financial Assets and Markets

- Cash Deposits
- Money Market Instruments
- Property
- Foreign Exchange Market

### Session 4: Equities/Stocks

- Equities/Stocks

### Session 5: Bonds

- Characteristics
- Corporate Bonds

### Session 6: Derivatives

- Derivatives Uses
- Futures
- Options
- Terminology
- Derivatives/Commodity Exchanges
- Swaps

### Session 7: Investment Funds

- Introduction
- Open-Ended/Mutual Funds
- Closed-Ended Investment Companies
- Real Estate Investment Trusts
- Exchange-Traded Funds
- Hedge Funds
- Private Equity

### Session 8: Financial Services Regulation

- Introduction
- Financial Crime
- Insider Trading and Market Abuse

### Session 9: Other Financial Products

- Retirement Planning
- Loans
- Mortgages
- Life Assurance

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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# Introduction to Securities & Investment (London)

## Registration & Payment details

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

Dates:

February 23 – 24, 2017

June 08 – 09, 2017

October 10 – 11, 2017

### Course Fee (per person):

GBP £1,050 (+ 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

Invoice Me

BACS

Credit Card



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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

\_\_\_\_\_  
Date

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## Investment Operations Certificate (IOC)

### Progressive study pathways options

For UK Candidates the IOC is achieved by passing any three of the following units\*;

(\* please note that the following list only contains the IOC courses that Risk Reward offers and not the complete selection, for the full list please visit [www.cisi.org](http://www.cisi.org))

#### Introductory

- International Introduction to Securities and Investment

#### Regulatory

- UK Financial Regulation

#### Technical

- Risk in Financial Services
- Global Financial Compliance
- Combating Financial Crime
- Managing Cyber Security
- Operational Risk