



ACCREDITED TRAINING PROVIDER



RISK REWARD
GLOBAL BANKING & FINANCIAL SERVICES EXPERTS

Managing Global Operations in Financial Markets

Top-tier banks and financial institutions face challenges as technology, markets and regulation continue to change and evolve worldwide. Managing the global operations of a financial institution requires specialist operations managerial expertise combined with staying up to date with regulation and best practise not only to be cost-efficient, risk averse and compliant to regulation but also as importantly to maintain brand integrity and market competitiveness.

This in-depth course covers the regulatory structure of all the main global financial markets, the dealing and market environments, risk and controls, settlement systems, asset serving and custody operations and procedures knowledge needed to meet a firm's comprehensive business operations goals.

Course Objectives

Participants will gain an in-depth understanding of **operations and settlement procedures in order to service effectively the needs of a firm and it's clients**, including

- the **UK and other major markets' regulatory frameworks**, market and dealing environment in which they operate and the concept of risk and risk control;
- all aspects of UK and **international operations and settlements**;
- the various **settlement systems** and services available.

Who should attend?

- Managers and staff working in Operations roles
- CISI Candidates to the Diploma in Investment Operations

Knowledge Prerequisites

None, however a familiarity of financial concepts, terminology or operations experience will be advantageous.

Our unique 4 day classroom training course features:

- Content-rich study materials
- Up-to-date and industry relevant case studies
- In-depth analysis of course topics
- Smaller class sizes which focus more on personal attention & expert-delegate interaction
- An experienced, expert practitioner-trainer with real industry track-record & available for delegate Q&A for up to 90 days to help in exam preparation following the course.

Methodology

The expert trainer will use slides, case studies, exercises and lead workshop-style group discussion to engage the delegates in practical learning and understanding. The trainer remains available to delegates for Q&A related to the course topic for 90 days following the course dates.

Advanced Preparation: None

Training Type: Live, in-person, classroom

Learning Level 6:

Intermediate

Field of Study: Operations

This training course is scheduled for:

London UK, 4 days

March 11 – 14, 2019

September 30 – October 3, 2019

The price per delegate for this 4-day programme is £4,995.00

(+ 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

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Managing Global Operations in Financial Markets

Detailed Course Outline

Session 1 Instruments and Characteristics

Equities

- UK
- International Depository Receipts
- Fixed Income
- Types of issuers
- Bond ratings and agencies
- Coupon characteristics and interest and yield calculation

Funds

- UK fund vehicles
- EU fund vehicles
- US fund vehicles
- Offshore funds and hedge funds
- Trust and corporate structures
- Fund administration and net asset value (NAV) process

Money Market

- Central Bank and Government operations
- Securitised financing plus certificates of deposit and asset backed commercial-paper Bank deposits
- Foreign exchange (spot and forward)

Financial derivatives

- Futures
- Options
- Securities synthetics
- Swaps
- Exchange traded and OTC products

Session 2: Trading

- The trade cycle from order through to confirmation.
- The rules and characteristics of major exchanges in UK, Europe, USA and Asia-Pacific.
- Recognised Investment Exchanges
- Off-exchange trading.
- Principal trading
- Agency trading
- Trading platforms

Session 3: Settlement and Clearing

The processes involved in the Settlement of instruments previously identified within the syllabus, specifically including:

- Delivery versus payment
- Free of payment
- Securities financing
- Margin settlement
- Settlement of cash products
- Settlement of derivative products
 - settlement within, and where applicable between, the major domestic and international CSD
 - The roles fulfilled by and the rules relating to:
 - Central securities depositories (CSDs)
 - Central counterparties (CCPs)
 - Settlement discipline regimes operated in major markets

Session 4 : Regulation AND Compliance

The UK regulatory framework with a focus on operational impact on **UK regulation**, including

- Oversight
- Control of outsourcers • Reconciliations
- Clearing and settlement

EU legislation

An understanding of global regulatory trends, initiatives and their impact

- Other major regulatory bodies
- International governance bodies and working parties

Session 5 : Risks and Controls

Operational risk

Other types of risk

Risk control

- Business contingency and disaster recovery arrangement



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Audit

- Operational control framework

Financial services technology and industry innovation

IT and systems development

Session 6 : Asset Servicing and Custody

Income collection

Corporate actions

Corporate governance/proxy voting

- Withholding and other transactional taxes

Custody

- Safekeeping
- Sub-custody
- Securities lending and borrowing Cash management

Fund administration

Course schedule:

Full day classroom training
09:30 – 17:00



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Registration & Payment details

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

Dates:

March 11 - 14, 2019

September 30 - October 3, 2019

Course Fee (per person):

GBP £4,995 (+ 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

CISI Certificate & Diploma Candidates

Please register, purchase your CISI workbook and online learning tools, and arrange to sit the exam at a testing centre directly with the professional body via www.CISI.org.

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

Data Privacy & Update of Contact Details Risk Reward Limited is fully compliant with the Data Protection Act. The information you provide will be safeguarded by Risk Reward Ltd. We do not rent, sell or exchange your details to anyone without your consent. Your details are never given to third parties. If you wish to update your details, please email: info@riskrewardlimited.com with your OLD and NEW details. Please allow 10 days to see the changes take effect. Thank you.

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

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