



ACCREDITED TRAINING PROVIDER

# Securities

This introductory qualification to Securities is driven by a streamlined syllabus focusing on key concepts and principles relating to the identification, trading and management of financial instruments by firstly looking at the various asset classes as well as the Primary and secondary markets. Building on these key concepts this qualification gives candidates an insight into transactions and mergers and also financial accounting analysis. After this 3 day training course candidates will have the basic knowledge necessary to make advisory decisions in securities trading.

## Course Objectives

The purpose of this three 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 individuals who advise and or deal in securities, analysts interested in companies' share prices and bond and equity traders.

## Our unique 3 day classroom led training course features:

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

## Progressive study pathways and prerequisites:

- UK exam candidates for the Capital Markets Programme must have obtained a pass in **Integrity Matters**, an online integrity test from the CISI before sitting the exam to this qualification.
- To achieve the **Capital Markets Programme** combine this qualification with UK Financial Regulation
- To achieve the **Level 6 CISI Diploma in Capital Markets** combine this qualification with the Level 6 Financial Markets and a choice of one of three following modules; Bonds and Fixed Interest Markets, Financial Derivatives and Fund Management.



**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: None**  
**Training Type: Classroom**  
**Learning Level: Introduction**  
**Field of Study: Capital market**

### This training course is scheduled for:

**London UK, 3 days**  
June 4 - 6, 2018  
December 3 - 5, 2018

**The price per delegate for this 3-day programme is £1,395**  
(+ 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: Asset Classes

- Shares
- Debt instruments
- Government Debt
- Corporate Debt
- Money Markets
- Eurobonds
- Other securities
- Foreign Exchange
- Prime brokerage and equity finance
- Collective Investments

### Session 2: Primary and Secondary Markets

- Principal characteristics
- Trading venues
- London Stock Exchange
- AIM
- Methods of Trading and Participants
- Government Bonds
- Corporate Bond Markets

### Session 3: Dealing

- London Stock Exchange (LSE) – UK Equity
- London Stock Exchange International Equity Market
- Costs of Trading
- Other Equity Markets
- Government Bonds
- Dealing Methods

### Session 4: Offers and Capital Adjustments

- Participants Involved
- Types of Offer
- Bond Offerings
- Corporate Actions
- Share capital and changes to share ownership

### Session 5: Clearing and Settlement

- Activities

### Session 6: Special Regulatory Requirements

- Takeovers and Mergers
- Disclosure of interests
- Transaction and Trade Reporting

### Session 7: Accounting Analysis

- Basic principles
- Statements of Financial Position
- Income Statement
- Cash Flow Statement
- Financial Statements Analysis

### Session 8: Risk and Reward

- Investment management
- Institutional Investment Advice

Course schedule:

Full day classroom training  
09:30 – 17:00



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# Securities Capital Market Programme (London)

## Registration & Payment details

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

Dates:

June 4 - 6, 2018

December 3 - 5, 2018

### Course Fee (per person):

GBP £1,395 (+ 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

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Date

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**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.