Securities Markets Operations Training Course

Professional Development Training Course Outline

Category	Capital Markets and Investment	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

The global financial ecosystem is evolving rapidly, driven by technological innovation, regulatory reforms, and increasing market complexities. Efficient securities markets operations are crucial for maintaining liquidity, transparency, and investor confidence. Securities Markets Operations Training Course equips professionals with advanced skills and knowledge to navigate trading, settlement, risk management, and compliance challenges. Participants will gain practical insights into market microstructure, operational efficiencies, and regulatory frameworks, enabling them to contribute strategically to organizational growth and resilience.

Securities markets are the backbone of economic development, facilitating capital flow and investment opportunities. This course emphasizes real-world applications, including market surveillance, transaction processing, clearing, and reporting. By integrating regulatory compliance, technological solutions, and operational best practices, the program prepares participants to optimize securities operations, mitigate operational risks, and enhance market integrity. Participants will emerge with a comprehensive understanding of trading ecosystems, settlement mechanisms, and the operational dynamics that drive successful securities market performance.

Programme Curriculum

Securities Markets Operations Training Course

Introduction

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Course Objectives

1. Understand the fundamentals of securities markets operations and their regulatory environment.
2. Gain expertise in trade execution, clearing, and settlement processes.
3. Analyze market microstructure and its impact on operational efficiency.
4. Develop risk management strategies for securities operations.
5. Explore technological solutions in trading and post-trade processes.
6. Ensure compliance with domestic and international securities regulations.
7. Evaluate operational challenges in equities, fixed income, and derivatives markets.
8. Implement effective reporting and record-keeping practices.
9. Enhance internal controls and governance in securities operations.
10. Identify fraud, operational errors, and market manipulation risks.
11. Apply industry best practices in trade reconciliation and exception management.
12. Integrate operational insights into strategic decision-making.
13. Foster collaboration between front, middle, and back-office functions.

Organizational Benefits

- Improved operational efficiency and accuracy
- Enhanced risk management and compliance adherence
- Reduction of trade and settlement errors
- Strengthened internal controls and governance
- Improved investor confidence and transparency
- Optimized use of technology and automation
- Enhanced staff competency and knowledge retention
- Better collaboration across departments

- Increased responsiveness to regulatory changes
- Strategic insights for decision-making

Target Audiences

1. Securities operations managers
2. Trading and settlement officers
3. Compliance and risk management professionals
4. Financial analysts and investment officers
5. Market regulators and supervisors
6. Back-office and middle-office staff
7. Portfolio managers
8. Technology and operations consultants

Course Duration: 5 days

Course Modules

Module 1: Introduction to Securities Markets Operations

- Overview of global securities markets
- Market participants and their roles
- Operational workflows in trading and settlement
- Regulatory environment and compliance requirements
- Key performance indicators in securities operations
- Case Study: Operational breakdown of a stock exchange

Module 2: Trade Lifecycle Management

- Trade capture, confirmation, and affirmation
- Reconciliation processes and exception handling
- Settlement instructions and timelines
- Operational risks in trade execution
- Best practices in trade processing
- Case Study: Resolving trade discrepancies in equities market

Module 3: Clearing and Settlement Operations

- Clearing mechanisms for equities, bonds, and derivatives

- Role of central counterparties and clearinghouses
- Settlement cycles and netting processes
- Cash and securities settlement procedures
- Automation in clearing and settlement
- Case Study: Settlement failure and corrective actions

Module 4: Risk Management in Securities Operations

- Identifying operational and market risks
- Techniques for mitigating trade and settlement risk
- Internal control frameworks
- Monitoring and reporting risk exposures
- Integration of risk management tools
- Case Study: Managing counterparty risk during high volatility

Module 5: Regulatory Compliance and Reporting

- Domestic and international securities regulations
- Trade reporting and transparency requirements
- Compliance monitoring and audits
- Anti-money laundering and KYC protocols
- Record-keeping and reporting standards
- Case Study: Compliance breach resolution in a trading firm

Module 6: Technology and Automation in Securities Operations

- Trading platforms and back-office systems
- Automation of operational workflows
- Integration of AI and analytics in trade processing
- Cybersecurity considerations
- System upgrades and technology risk management
- Case Study: Implementing an automated reconciliation system

Module 7: Market Surveillance and Fraud Detection

- Techniques for monitoring market activities
- Identifying anomalies and suspicious transactions

- Tools for market surveillance
- Investigating operational errors and fraud
- Reporting suspicious activities to regulators
- Case Study: Detection of insider trading activity

Module 8: Strategic Operations and Process Optimization

- Continuous improvement in operations
- Lean processes and operational efficiency
- Collaboration across front, middle, and back-office
- Key metrics for measuring operational success
- Strategic decision-making in securities operations
- Case Study: Process reengineering in a brokerage firm

Training Methodology

- Interactive lectures with practical examples
- Group discussions and brainstorming sessions
- Hands-on exercises and simulations
- Case study analyses for real-world application
- Role plays to understand operational decision-making
- Continuous assessments and feedback sessions

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call *+254769199797*

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

Ready to enroll or request a customized program? Book online or contact us:

Register Online Now

Email: info@fineskilltrainingcenter.com | Website: www.fineskilltrainingcenter.com