



1-Day Intensive Course

Life Cycle Of A Trade - *Securities*

Intermediate Level

18 April 2012, Singapore

Who's attending?

This course is beneficial to middle and back office staff and executives.

Why not recommend this course to a colleague?

“The materials and topics covered are very practical and address the day-to-day issues we are facing.”

An understanding of the pre-trade situation is becoming more essential to middle and back office staff as trade volumes and product sophistication increase. An error benchmarking survey conducted across 24 members of the Australian Financial Markets Association in 1995-96 concluded:

- The average error rates across all firms for the respective products surveyed were:
 - Cash 4.2%;
 - Fixed interest 5.5%;
 - Foreign exchange 6.0%; and
 - Interest rate swaps 12.9%.
- The front office was the major source of these errors ranging from 60.6% for cash to 81.2% for fixed interest.

An increased awareness of pre-trade and processing cycles across staff will serve to lower error rates in an environment of operations risk capital charge proposed under Basle II accord. The Basle Committee believes that operational risk is an important risk facing banks and that banks need to hold capital to protect against losses from it.

Within the Basel II framework, operational risk is defined as the risk of losses resulting from inadequate or failed internal processes, people and systems, or external events. This is another area where the Committee has developed a new regulatory capital approach. As with credit risk, the Committee builds on banks' rapidly developing internal assessment techniques and seeks to provide incentives for banks to improve upon those techniques, and more broadly, their management of operational risk over time.

What will I get out of it?

This course provides participants with a basic understanding of the fundamental issues addressed and assessed in operations. At the end of this course participants will be able to:

- Understand key processes involved in operations processing
- Understand key transaction systems involved in clearing and settlement transactions
 - Describe the flow of a trade
 - Identify the fundamental issues in pre-trade, controlling and settlement
 - Identify and discuss operations risk management problems

BOOK NOW! Register before 18 March 2012 for early-bird discount.

Venue

All of our courses are held in 4 -5 stars hotels, chosen for their location, facilities, and level of service. You can be assured of a comfortable, convenient learning environment throughout the duration of the course.

Due to the variation in delegate numbers, we will send confirmation of the venue to you approximately 2 weeks before the start of the course.

About Us

Salmon Thrust provides tailored financial training solutions to leading Asian clients. Being Asian for Asians, we understand that different cultures have their own needs in terms of product and knowledge, and in terms of their approach to Client Management.

Founded in 2004 to satisfy the demand for wealth management and related training programs in this part of the world, we develop and present seminars and workshops for executives working in corporations, investment banks, securities houses, firms of accountants and legal practices.

Our courses are held on a public or in-house basis, a full list of which can be found on our website. Visit www.salmonthrust.com

COURSE CONTENT

Module 1 – Securities Pre-Trade

- Compliance
- Suitability
- Exchange vs OTC
- Documentation
- Trade Motivation
- Market Participants
- Primary and Secondary Markets

Module 2 - Middle and Back Office Functions for Securities Trading

- Role of Operations
- How operations are structured
- Function of Middle Office
- Settlement periods

Module 3 - Overview of Internal Processes

- Organisation of Middle Office including key personnel and org chart
- Organisation of Back Office including key personnel and org chart
- Key IT platforms and systems
- Settlement and custody systems used for each product group
- Overview of compliance function

Funding Support

The Monetary Authority of Singapore (MAS) administers Financial Training Scheme (FTS) grants to financial sector organisations that sponsor eligible Singapore based participants to training programmes that meet qualifying criteria. For more details, please visit www.mas.gov.sg, or contact the MAS via fsdf@mas.gov.sg.

Pre-Course Needs Analysis: it's all about YOU!

Be sure to register at least 30 days in advance to receive your free pre-course assessment. This will enable us to better understand your specific objectives and interests.

Francis Teo

Francis Teo is a career banker who has appeared regularly as a speaker at seminars involving fund management operations, Treasury Operations and Custody products and services. He is also a regular speaker at Swift's Master-class seminars. His career spans the following:

- VP and Head of Administration at Chase Manhattan Bank N.A. (now known as JP Morgan) where he headed Private Banking and Investment Operations for Singapore Branch. He was instrumental in creating the Regional Investment Operations Centre at Chase Singapore, which was responsible for the central securities settlement function for Chase Asia.
- Director and Head of Operations at Swiss Bank Corporation (now known as UBS). While at Swiss Bank, he implemented a Straight-Through Processing system for Treasury Operations and later made Swiss Singapore's Treasury Operations Centre as Swiss's Asia Processing & Settlement Centre, responsible for the processing and settlement of treasury and derivative trades for Singapore, Hong Kong and Japan.
- Head of Operations and Senior Director at UOB Asset Management, a company with more than S\$20 billion in AUM with various asset classes.

Francis holds an International MBA degree from the U.S.A. He is also a Member of the Chartered Institute of Bankers, London.

Save time and money with in-house training

In-house training is an efficient and cost effective way to ensure that your employees are equipped with the knowledge and skills needed to make a real impact in your organization.

Training can be arranged for anything from small groups to entire divisions and will take place at a time chosen and convenient to you.

For more information on holding this, or any other salmon Thrust course in-house, please contact:

Audrey Ang, Sales Manager
Tel: +65 63230768
Email: audrey@salmonthrust.com

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Website
www.salmonthrust.com

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(+65) 6323 0768

Email
email@salmonthrust.com

Life Cycle of a Trade – Securities

18 April 2012, Singapore

Register now

Package	Before 18 Mar 2012	After 18 Mar 2012	Quantity	Sub-total
Registration fee	S\$720 Save \$80	S\$800		
Platinum Package	Send 4 delegates and 5 th comes FREE			

Attendee details

1	Name.....	Job title.....
	Tel.....	Email.....
2	Name.....	Job title.....
	Tel.....	Email.....
3	Name.....	Job title.....
	Tel.....	Email.....
4	Name.....	Job title.....
	Tel.....	Email.....
5	Name.....	Job title.....
	Tel.....	Email.....

Company/Invoicing details

Organization name.....
Address.....
Postcode.....
Invoice attention to..... Job title.....
Tel..... Email.....

Approving Manager signature

NB: Signatory must be authorized to sign on behalf of contracting organization

Name.....
Email..... Job title.....
Tel..... Fax.....
Authorizing signature * (Mandatory).....

Payment method

For payment by crossed **cheque or bank-draft**, please make payable to: **Salmon Thrust Pte Ltd**

For payment via **telegraphic transfer**, please make payment to:

Account number: 501-747323-001
Account name: Salmon Thrust Pte Ltd
Bank address: 65 Chulia Street, #01-01 OCBC Centre. Singapore 049513
Bank code: 7339
Swift code: OCBCSGSG

How to book your course

Complete this form and **fax** to:
+65 6423 9802

Or send the form to:

Salmon Thrust Pte Ltd
55 Market Street #10-00
Singapore 048941

Take the Platinum package

Get your team together and save!
Send 4 delegates and get one FREE

You may also be interested in

- Life Cycle of a Trade - FX & Derivatives (10 Feb)
- Asset-Liability Management (24 – 25 May)
- Introduction to Financial Products for Back Office Officers (16 – 17 Apr)
- Straight-Through Processing (21 May)

Go to www.salmonthrust.com to view our full course calendar

Terms and conditions

1. Should you be unable to attend, a substitute delegate is welcome at no extra charge.
2. Salmon Thrust does not provide refunds for cancellations. Invoiced sums are payable in full within 7 days of the invoice date.
3. Salmon Thrust will provide full course documentation to a delegate who has paid, but is unable to attend.
4. Salmon Thrust reserves the right to change the content of the program without notice including the substitution, alteration or cancellation of speakers and/or topics and/or the alteration of the dates of the event.
5. Salmon Thrust is not responsible for any loss or damage as a result of a substitution, alteration, postponement or cancellation of an event under any circumstances.
6. Salmon Thrust reserves the right to amend any part of the published program, agenda or speakers due to factors outside of its control.

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