



Financial Market Operational Control and Support for Trading & Sales

Program Code: TGS-2022602240

COURSE OVERVIEW

This course is conducted by virtual classroom online

This course will help Financial Markets Junior Traders & Sales with requirement for understanding of the end-to-end trade process flow, internal approval policy and documentation knowledge. The programme will enhance participants' understanding on financial markets risk management & operational policies and review processes. This course will cover trade confirmation flow process, disclosure of product features and risks. There will be a case study to illustrate the importance of a robust treasury processes & controls. The case study will help participants understand the importance of checks & controls processes in the front office and back-office support function.

Who Should Attend

Junior Financial Markets Trader, Sales and Middle Office Support Executives with knowledge of financial products and who want to acquire a deeper understanding and knowledge of end-to-end STP trade flow process, P/L production and documentation requirements.

OBJECTIVES

Objectives of this course are:

- Gain an overview on trade processing flow and front office P&L production.
- Comprehend key operational control tools.
- Acquire basic understanding on accounting treatment for financial markets products.

There will be an Assessment (MCQ)

Duration of Course – 2 ½ Hours

Course Fees - S\$ 500 + 8% GST (Eligible for FTS Funding)

FTS Funding please visit IBF website: <https://www.ibf.org.sg/programmes/Pages/IBF-FTS.aspx>

Trainer: Thomas Poh

***Requirement: Computer Device with video / camera function**

For Trainers' Profiles, Policies and Guidelines on course management and related polices pls visit FMAS website at <https://fmasg.org.sg/home/>



Financial Market Operational Control and Support for Trading & Sales Program Code: TGS-2022602353

Course Outline

1. Overview on trade processing flow and P&L Production

- a) Straight-through trade processing flow
- b) Front Office P&L Production

2. Understand documentation

- a) Documentation requirements
- b) Overview on ISDA documents

3. Key operational control tools

- a) Product Control: New product Approval; Price & Model Verification; P&L Control
- b) Trade Clearing
- c) Confirmation matching and resolution of discrepancies
- d) Reconciliations
- e) Payment Control

4. Acquire basic understanding on accounting treatment for financial markets products

- a) IFRS 9 – Recognition & Measurement
- b) IFRS 13 – Fair Value Measurement
- c) IFRS 7 – Financial Instruments: Disclosures

5. Case Study

- Lesson to learn from huge FX losses at NAB