Operational Risk in Capital Markets 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

Operational Risk in Capital Markets Training Course is a comprehensive, industry-focused program designed to strengthen governance, risk management, regulatory compliance, and operational resilience across capital markets institutions. In today's highly volatile financial ecosystem characterized by digital transformation, algorithmic trading, cyber threats, regulatory scrutiny, and cross-border transactions, operational risk management has become a strategic priority. This course delivers advanced knowledge in Basel III/IV frameworks, risk and control self-assessment (RCSA), key risk indicators (KRIs), loss data analytics, business continuity planning (BCP), and enterprise risk management (ERM), enabling participants to mitigate financial, reputational, and systemic risks.

Through practical case studies, scenario analysis, and data-driven methodologies, participants will explore operational risk in trading operations, clearing and settlement systems, asset management, investment banking, fintech platforms, and securities exchanges. The course integrates global regulatory standards, digital risk management, fraud prevention, conduct risk controls, and ESG-linked operational exposures. By combining strategic insights with real-world applications, this training enhances internal controls, strengthens compliance culture, and builds sustainable operational resilience within capital markets institutions.

Programme Curriculum

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Course Objectives

1. Analyze operational risk frameworks aligned with Basel III and Basel IV standards.
2. Implement advanced Risk and Control Self-Assessment (RCSA) methodologies.
3. Design and monitor Key Risk Indicators (KRIs) using data analytics dashboards.
4. Strengthen internal controls across trading, settlement, and custody operations.
5. Apply scenario analysis and stress testing for operational risk quantification.
6. Evaluate cyber risk, fintech risk, and digital transformation vulnerabilities.
7. Integrate enterprise risk management (ERM) into capital markets governance.
8. Enhance regulatory compliance and reporting under global financial regulations.
9. Develop business continuity planning (BCP) and disaster recovery strategies.
10. Manage third-party and outsourcing risks in financial institutions.
11. Mitigate fraud risk, conduct risk, and reputational risk exposures.
12. Utilize operational risk data for predictive risk intelligence.
13. Strengthen ESG-related operational risk and sustainability governance frameworks.

Organizational Benefits

- Reduced operational losses and financial exposure
- Strengthened regulatory compliance and audit readiness
- Improved risk transparency and governance oversight
- Enhanced operational resilience and crisis preparedness
- Increased investor confidence and stakeholder trust
- Stronger internal control systems and fraud prevention
- Optimized risk-adjusted capital allocation
- Improved decision-making through risk intelligence analytics

Target Audiences

1. Risk Management Professionals
2. Compliance Officers
3. Internal and External Auditors
4. Capital Markets Operations Managers

5. Investment Banking Professionals
6. Asset and Portfolio Managers
7. Financial Regulators and Supervisors
8. Fintech and Digital Banking Risk Specialists

Course Duration: 5 days

Course Modules

Module 1: Foundations of Operational Risk in Capital Markets

- Operational risk taxonomy and regulatory definitions
- Basel framework evolution and capital charge methodologies
- Three lines of defense governance model
- Risk appetite and tolerance frameworks
- Operational risk events and loss classifications
- Case Study: Analysis of a global trading desk operational failure

Module 2: Risk Identification and Assessment Techniques

- Risk and Control Self-Assessment implementation
- Process mapping and risk registers
- Key Risk Indicators development
- Scenario analysis and stress testing
- Risk heat maps and reporting tools
- Case Study: RCSA implementation in a securities brokerage firm

Module 3: Operational Risk in Trading and Settlement

- Trade lifecycle risk exposures
- Clearing and settlement operational breakdowns
- Custody and reconciliation risks
- Market infrastructure dependencies
- Technology system vulnerabilities
- Case Study: Settlement disruption in a regional stock exchange

Module 4: Cyber Risk and Digital Transformation

- Cybersecurity threats in capital markets
- Fintech and algorithmic trading risk exposure
- Data governance and privacy compliance
- Cloud computing operational risks
- Digital fraud prevention strategies

- Case Study: Cyber breach in an investment management platform

Module 5: Fraud, Conduct, and Reputational Risk

- Insider trading controls and surveillance systems
- Rogue trading prevention mechanisms
- Anti-money laundering operational controls
- Conduct risk monitoring frameworks
- Whistleblowing and ethical culture systems
- Case Study: Internal fraud incident in an investment bank

Module 6: Business Continuity and Operational Resilience

- Business continuity planning lifecycle
- Disaster recovery and crisis communication
- Pandemic and systemic disruption management
- Operational resilience testing frameworks
- Regulatory expectations on resilience
- Case Study: Market operations continuity during global disruption

Module 7: Third-Party and Outsourcing Risk Management

- Vendor due diligence frameworks
- Outsourcing governance and contracts
- Cross-border service provider risks
- Monitoring and performance metrics
- Regulatory compliance in outsourcing
- Case Study: Outsourcing failure impacting clearing operations

Module 8: Risk Reporting, Analytics, and Governance

- Operational risk data aggregation
- Board-level risk reporting dashboards
- Loss event database management
- Risk culture and accountability frameworks
- ESG-linked operational risk considerations
- Case Study: Enhancing governance reporting in a capital markets firm

Training Methodology

- Interactive expert-led lectures

- Practical workshops and breakout sessions
- Real-world capital markets case studies
- Scenario-based simulations
- Group discussions and peer learning
- Risk assessment tools demonstrations
- Regulatory framework analysis
- Action plan development exercises

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

Start Date	End Date	Location	Price
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:

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