Securities Trading Operations in Banking Training Course

Professional Development Training Course Outline

Category	Banking Institute	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

In today’s fast-evolving capital markets ecosystem, banks must operate with high-performance securities trading operations, driven by digital transformation, real-time processing, regulatory compliance, and risk optimization. Securities Trading Operations in Banking Training Course delivers a comprehensive understanding of front-to-back trading lifecycle management, covering trade execution, clearing and settlement, market infrastructure, liquidity management, and post-trade automation. Participants will gain insights into algorithmic trading, blockchain in securities, AI-driven analytics, and straight-through processing (STP) to enhance operational efficiency and reduce systemic risks.

With increasing regulatory scrutiny and market volatility, financial institutions must strengthen their operational resilience, trade transparency, and compliance frameworks. This training equips professionals with practical expertise in trade processing workflows, reconciliation, corporate actions, collateral management, and operational risk mitigation. Through real-world case studies, emerging trends, and global best practices, participants will develop the skills needed to excel in modern securities trading operations within investment and commercial banking environments.

Programme Curriculum

Securities Trading Operations in Banking Training Course

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Course Duration

5 days

Course Objectives

1. Understand end-to-end securities trading lifecycle management with real-time processing
2. Analyze front, middle, and back-office integration frameworks
3. Apply regulatory compliance standards in trading operations
4. Implement straight-through processing (STP) and automation strategies
5. Evaluate market infrastructure and clearing & settlement mechanisms
6. Strengthen trade reconciliation and exception management processes
7. Manage operational risk and trade failures using advanced risk analytics
8. Explore algorithmic trading and AI-driven execution strategies
9. Enhance collateral management and liquidity optimization techniques
10. Understand corporate actions processing and asset servicing workflows
11. Leverage blockchain and distributed ledger technology (DLT) in securities markets
12. Improve data governance, trade transparency, and reporting accuracy
13. Develop operational resilience and crisis management strategies

Target Audience

1. Securities trading operations officers
2. Investment banking professionals
3. Middle and back-office analysts
4. Risk and compliance managers
5. Treasury and liquidity managers
6. Financial market infrastructure professionals
7. FinTech and digital banking specialists
8. Auditors and regulatory reporting professionals

Training Modules

Module 1: Securities Markets & Trading Fundamentals

- Structure of global financial markets and instruments
- Equity, fixed income, derivatives, and structured products
- Trading venues-exchanges vs OTC markets
- Role of brokers, dealers, and custodians
- Case Study: Market structure evolution in emerging economies

Module 2: Trade Lifecycle Management

- Order initiation and trade execution workflows
- Trade capture and confirmation processes
- Allocation and booking systems
- Trade validation and enrichment
- Case Study: Trade lifecycle breakdown in high-frequency trading

Module 3: Clearing and Settlement Operations

- Clearing houses and central counterparties (CCPs)
- Settlement cycles (T+1, T+2) and optimization
- Delivery versus payment (DvP) mechanisms
- Settlement failures and penalties
- Case Study: Settlement risk during market volatility events

Module 4: Post-Trade Processing & Reconciliation

- Trade reconciliation techniques and tools
- Exception management and break resolution
- Nostro/Vostro account reconciliation
- Automation in post-trade processing
- Case Study: Reconciliation failures and financial impact

Module 5: Corporate Actions & Asset Servicing

- Dividends, mergers, splits, and rights issues
- Corporate actions lifecycle management
- Income processing and tax implications
- Proxy voting and shareholder communication
- Case Study: Corporate action mismanagement scenario

Module 6: Risk Management in Trading Operations

- Operational, market, and settlement risks
- Risk mitigation frameworks and controls
- Trade surveillance and fraud detection
- Stress testing and scenario analysis
- Case Study: Trading loss due to operational oversight

Module 7: Technology & Innovation in Trading

- Algorithmic and high-frequency trading (HFT)
- Blockchain and distributed ledger technology (DLT)
- Artificial intelligence in trade analytics
- API integration and digital platforms
- Case Study: Blockchain adoption in securities settlement

Module 8: Regulatory Compliance & Reporting

- Global regulatory frameworks
- Trade reporting and transparency requirements
- Anti-money laundering (AML) in securities trading
- Audit trails and compliance monitoring

- Case Study: Regulatory breach and compliance penalties

Training Methodology

- Interactive lectures and presentations.
- Group discussions and brainstorming sessions.
- Hands-on exercises using real-world datasets.
- Role-playing and scenario-based simulations.
- Analysis of case studies to bridge theory and practice.
- Peer-to-peer learning and networking.
- Expert-led Q&A sessions.
- Continuous feedback and personalized guidance.

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:

Register Online Now

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