

# Introduction to Financial Markets

**9 March 2010**

**11 May 2010**

**15 September 2010**

**CISI, 8 Eastcheap, London EC3M 1AE**

## COURSE HIGHLIGHTS

This one-day interactive course provides delegates with a thorough and effective introduction to the global financial markets. Spend the day reviewing the wide range of instruments and issues that exist in today's financial markets.

Delegates will have explained, without reference to complex mathematical calculations or modelling techniques, exactly how the national and international capital markets work.

The course is designed to provide delegates with a good understanding of the bigger picture and the major participants who shape it.

Visit [cisi.org/financeintro](http://cisi.org/financeintro) for the full course programme.

## WHO SHOULD ATTEND

The course will be of benefit to new or recent recruits to banking and finance, as well as experienced bank/finance staff with new responsibilities in money or capital markets.

## COURSE DIRECTOR

Julia Kirkland ACSI has been providing bespoke training design and delivery to financial services staff for several years and has previously managed teams in mutual fund dealing, client services and retail products administration for a number of blue-chip investment management groups.

“Excellent, engaging tutor and style.”

Director, First Quartile

A confident trainer with an enthusiastic and engaging style, her understanding of the practical application of skills allows her to tailor the training to those attending.

Start 9.30am

## **RAISING CAPITAL & THE NEED FOR MARKETS**

- Debt versus equity investment

## **THE ROLE OF FINANCIAL MARKETS & CHARACTERISTICS**

- LSE, NYSE, TSE and main European centres
- Impact of MiFID

## **WHO ARE THE INVESTORS?**

- Institution versus Retail
- Clients investment objectives

## **MAJOR MARKET PARTICIPANTS**

- Role of the Investment Banks
- Rise of Investment Managers/Asset management

## **ASSET CLASSES & DERIVATIVES**

- Equities - geographical spread
- Bonds - corporate bonds versus government issue
- Money market instruments
- Derivatives
- Alternative investments

Exercise - create a personal portfolio

## **ASSET ALLOCATION**

- Strategic versus tactical asset allocation
- Active versus passive investment management

## **COLLECTIVE INVESTMENTS**

- Unit Trusts & ICVCs (OEICs)
- Investment Trusts
- SICAVs
- ETFs

Exercise - create a client portfolio

## **REGULATION**

- UK Regulatory approach in the UK
- Framework & impact of EU directives
- Impact of money laundering on financial markets
- Anti money laundering legislation in UK

Finish 5pm

## The CISI and the FSA's Retail Distribution Review (RDR)

Under the RDR, the FSA proposes to introduce compulsory CPD for all retail advisers to assist in achieving ongoing competence. It suggests that a minimum of 35 hours' CPD must be completed on an annual basis (or 100 hours over a three-year period) and that such activities should be recorded.

The FSA has proposed as a guide that the CPD should comprise of 60-70% structured learning which equates to 21 - 24.5 hours. Attendance at courses such as this one are activities accepted as part of structured learning.

Delegates who attend any CISI professional training course or conference will earn CPD hours, and Institute members will have these automatically added to their personalised CISI CPD log, which also recommends 35 hours on an annual basis.

Please see [cisi.org/rdr](http://cisi.org/rdr) for further information.

### Venue Details

The Chartered Institute for Securities & Investment  
8 Eastcheap, London EC3M 1AE  
+44 (0)20 7645 0680  
[cisi.org](http://cisi.org)  
Nearest Tube Station: Monument

### To Register

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