



Introduction to Stock Broking & the Trade Lifecycle

About the course

The purpose of this course is to provide delegates with an overview of Stock Broking. It includes learning about a model stock broking office where the departments in a front, middle and back office are discussed, and also the concept of Straight Through Processing (STP) and how this is managed using Figaro.

Course Objectives

On completing the course, the successful delegate will understand:

- Key concepts in Stock Broking:
 - Stock Brokers
 - Market Makers
 - Custodians
 - Registrars
- Roles within a Stock Broking office:
 - Front Office
 - Back Office Departments
- Straight Through Processing
- Key functionality of Figaro that enables STP
- Technical architecture of Figaro Front Office (how Figaro connects to markets), if appropriate

Who should attend the course?

- This course is designed for anyone who wishes to work in Stock Broking and/or is a new user of Figaro.

Course Prerequisites

- None

Course Content

Part 1: Business Overview

- What are Securities and why do they exist?
- Who trades in Securities?
- Who facilitates Trading?
- What are Custodians and Registrars?
- What is the role of the Regulator?

Part 2: Model Stock Broker Office

- What is the Front Office?
- What is the Middle & Back Office?
- What does each department do?

Part 3: Straight Through Processing

- What is it?
- How is STP achieved on Figaro?
- What can be done manually?
- How does Figaro communicate with the Markets and Custodians?

Course Details

- Duration: 1 Day
- Course booking reference: **INTRODhuR3**

Course Venues

Courses can be held at our fully equipped training facilities in London (details below) or delivered on your premises

- JHC Plc, Ground Floor West, Cottons Centre, Cottons Lane, London SE1 2QG

Contacting JHC Plc

For information on booking this course please contact our training department:

- Ph. 0207 367 6534
- Email: training@jhc.co.uk

