



# 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](mailto:training@jhc.co.uk)

