



Curriculum of Investment Banking Operations(IBOC)

Training Program: IBOC + CISI Certification + Career Enablement

Total Duration: 120 Hours

Delivery Mode: Hybrid

This program aims to equip students with global certifications and practical, industry-ready skills for careers in middle-office and back-office operations in investment banking, custody, and fund accounting firms.

Program Structure

1. CISI Investment Operations Certificate (IOC) – 70 Hours

Modules:

- International Introduction to Securities & Investment
- Global Securities Operations

1. International Introduction to Securities & Investment (IISI) 30 Hours

Level 1 – Foundation Module

This module provides a comprehensive introduction to the financial services industry, including key asset classes, financial instruments, and regulatory frameworks.

◆ Syllabus Coverage:

1. Introduction to Financial Services
 - Role of financial services in the economy
 - Types of firms: retail, investment, insurance, fund management
 - Key global financial centres
2. Economic Environment
 - Basic economic principles (demand, supply, GDP, inflation)

- Monetary and fiscal policy
- Impact of macroeconomic factors on financial markets
- 3. Equities/Stocks
 - Characteristics of shares
 - Dividends, yields, and voting rights
 - Stock markets and indices
- 4. Bonds
 - Features of bonds and debentures
 - Government vs corporate bonds
 - Yield calculations: coupon, yield to maturity, clean and dirty prices
- 5. Other Financial Assets
 - Cash deposits
 - Money market instruments
 - Property and commodities
- 6. Derivatives
 - Introduction to forwards, futures, options, and swaps
 - Usage for hedging and speculation
 - OTC vs exchange-traded derivatives
- 7. Investment Funds
 - Collective Investment Schemes (CIS)
 - Open-ended vs closed-ended funds
 - UCITS and international fund structures
- 8. Financial Services Regulation
 - Principles of financial regulation
 - Regulatory structure in the UK: FCA, PRA, and other bodies
 - Client categorisation and anti-money laundering
- 9. Other Financial Products
 - Structured products
 - Insurance-based investments
 - Real estate investment trusts (REITs)
- 10. Financial Advice
 - The advisory process
 - Suitability and risk profiling
 - Ethical and professional standards

2. Global Securities Operations (GSO) 40 Hours

Level 2 – Technical Module

This module focuses on the operational aspects of trading, clearing, settlement, and custody within global financial markets.

◆ Syllabus Coverage:

1. Securities
 - Types: equities, bonds, derivatives
 - Trading conventions and terminology
 - Characteristics and classifications

2. Main Industry Participants
 - Role of investment banks, custodians, brokers, and depositories
 - Prime brokers, fund administrators, and registrars
 - Market infrastructures: exchanges, CCPs, and CSDs
3. Settlement Characteristics
 - Trade lifecycle (execution to settlement)
 - Clearing and netting mechanisms
 - Settlement cycles: T+1, T+2, T+3
 - Delivery vs Payment (DvP)
4. Other Investor Services
 - Corporate actions (dividends, splits, rights, mergers)
 - Income collection and tax reclaims
 - Proxy voting and account administration
5. Aspects of Taxation
 - Withholding tax
 - Double taxation treaties
 - Tax documentation and reporting requirements
6. Risk
 - Operational, settlement, and counterparty risk
 - Use of margin and collateral
 - Risk mitigation through STP (Straight Through Processing)

2. Investment Banking Operations Certification (IBOC) Simulations and case studies – 20 Hours

Topics:

- Trade Lifecycle
- Settlements & Reconciliation
- Corporate Actions
- Custody Operations
- Fund Accounting
- SWIFT & Compliance

3. Career Enablement Modules – 20 Hours

Includes:

- LinkedIn Profile Optimization
- Personal Branding for Finance Students
- Mock Interviews & Resume Building
- Email & Communication Skills
- GenAI for Finance Careers (Prompt Writing & Automation Tools)

4. Bloomberg – 10 Hours

This will be in line with the roles of Investment banking operations role. The most used and significant screens will be taught and practised.