



Back Office: Purchase and Sales - Online

Brokerage operations covers all phases of securities processing within a brokerage firm. This course illustrates how orders move from the order room to purchase and sales and finally to the Cashier's Department and how the Margin Department monitors accounts. The course concludes with a look at current trends in the industry. Brokerage operations was designed for beginners, but supervisors and other experienced personnel can use it to gain a better understanding of the field.

This course replicates the content from module 3 of Brokerage Operations - Online

This is an asynchronous eLearning course that can be accessed 24/7 from any internet enabled computer. Subscription period for this course is 90 days.

Available Session(s):

Available Today

Online

USD \$60.00

Instructor(s):[]

Targeted Audience

Professionals new to the securities industry.

Advance Preparation

No advance preparation required.

Learning Objectives

Students will be able to:

- Identify how orders are received, tracked, and routed to the appropriate markets
- Identify the types of orders and how they are implemented
- Recognize how transaction details are tracked after the trade is executed.
- Recognize how trades are recorded
- Calculate the net amount due to a customer from a trade
- Identify how trades are compared, reconciled confirmed, and booked.

Level: Basic

CPE Credits: 1

Instructional Method: Self-Study

Detailed Outline

Back Office: Purchase and Sales

- Recordation and Figuration
- Calculating bond trades
- Comparison
- Trade-for-trade vs. systematized

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