



## Equities Trading Intensive

This two-day program introduces technology professionals, investors, prospective traders, and anyone interested in the stock market to the basics of trading in the over-the-counter and listed equity markets. It includes a discussion of systems, players and their roles, trading fundamentals, market psychology, the role of options and other hedging vehicles, as well as the relevant Nasdaq/OTC and listed rules and regulations that apply to both investors and professional traders. This class is not only an invaluable introduction to the equities business, but should serve as a first step to becoming a successful, disciplined, savvy, and profitable stock trader.

On day one, we lay the foundation of the equity markets, and discuss the rules and regulations that govern the markets and the players in the marketplace. Once we have this base to build upon, we can fully appreciate the structural issues and marketplace nuances that are vital to successful and profitable equity trading - covered on the second day. The class also provides an excellent opportunity to address some of the topics covered by the Series 55 (equity trader) licensing exam, for those participants who intend to pursue opportunities in market making.

### Available Session(s):

17-Dec-2008 -- 18-Dec-2008	New York	USD \$2375
NY Institute of Finance - Downtown	9:00am - 4:30pm	Wed Thu

Instructor(s):[NYIF Instructor; ]

### Targeted Audience

Technology professionals, new traders - or those thinking of getting into the business. Anyone who needs to interact with stock traders - who needs to learn the material covered on the Series 55 exam (equity trader) in a purely applied environment.

### Special Offer

Clients who register for this course will receive a complimentary 6 month subscription to the Financial Times and FT.com. The Financial Times is the world's most respected financial newspaper providing a broad assessment on finance, business and the industrial sector. Subscriptions will start within 6-8 weeks of the application process, and are limited to one per client. For questions about your subscriptions call 800-628-

8088 or email [uscirculation@ft.com](mailto:uscirculation@ft.com). US and Canada enrollees only.

## Advance Preparation

No advance preparation required.

## Prerequisites

None. An interest in the stock market is vital.

## Learning Objectives

Students will be able to:

- Discuss the "new world" of equity trading - not day trading, but smart trading
- Interpret the rules and regulations ESSENTIAL for industry experts
- Catch up with the latest developments and technologies
- Analyze trading scenarios using current examples from the markets

## Alumni Comments

*"Excellent course for introductory-level knowledge of trading."*

*"Very useful material; especially with the variety of equity related products out there."*

*"The instructor has very strong industry knowledge."*

*"The instructor was very knowledgeable and had experience with the subject matter."*

*"Adam has real-life experience and down-to-earth illustrations. A very good instructor!"*

**Level:** Basic

**CPE Credits:** 14.0

**Instructional Method:** Group-Live

## Detailed Outline

### DAY 1: Overview of the Equity Marketplace

#### Market Participants

- Issuers
- Investors
- Brokerage Firms
- Institutions
- Banks
- Industry Service Organizations

#### Exchange Structure

- Order types

### DAY 2: Equity Trading: Strategies and Analysis

#### Risk Management

#### Trading Strategies

#### The Basics of Technical and Fundamental Analysis

#### An analysis of trades and recent trends

#### New Technology

**The Execution of Domestic Equity  
Transactions**

· Rules and Regs

**Clearance, Settlement, Prime  
Brokerage, & Stock Loan**

For more information regarding administrative policies such as complaints and refunds, please contact our offices at 212-641-6616.