

NEW YORK INSTITUTE OF FINANCE

Established 1922

Where Wall Street Goes to School...*Again*

Downtown Course Catalog

Fall 2006



Accounting & Tax • Core Finance Concepts • Credit Risk • Fixed Income •
Investment & Portfolio Management • Operations & Compliance • Risk
Management & Derivatives • Structured Products • Technical Analysis • Trading

www.nyif.com

PEARSON

Welcome to the New York Institute of Finance Downtown! This catalog marks our return to the Wall Street area as we grow with a new campus at Battery Place, adding to our existing midtown location.

We're excited about this expansion and about being a part of the revitalization taking place in the downtown area. We're also pleased to be returning home and to once again be the place *Where Wall Street Goes to School*.

Founded by the New York Stock Exchange in 1922, the New York Institute of Finance has been helping financial services companies and multinational corporations to learn and to lead for over 80 years. Our courses offer a broad based curriculum covering a wide range of subjects at all levels. We're also the only financial training provider in New York to offer many of our programs as either day or evening classes, giving you the choice and flexibility to choose the time (and location) that suits your schedule.

Our delegates come from all over the world and our dynamic instructors are all industry practitioners who combine academic rigor with an understanding of how business and finance work in the real world. At the New York Institute of Finance we understand the financial marketplace because we are part of it!

Join us for a class this fall as we celebrate our new beginning, and choose from either our Midtown or Downtown location. Whether you're considering taking your career to the next level, enhancing existing skill sets or expanding your personal knowledge base, the New York Institute of Finance can help you achieve these goals.

Best regards,



Patricia Sparacio-Don Diego

Managing Director

New York Institute of Finance

P.S.

Don't miss our **Launch Party and Open House** on Wednesday, September 13th. Come and find out about our programs and meet our instructors. We hope to see you there.

New York Institute of Finance HQ
1330 Avenue of the Americas
New York, NY 10019

www.nyif.com/downtown
telephone 212 641 6616
fax 212 641 2598

New York Institute of Finance
Downtown Campus
Securities Training Corporation
17 Battery Place North, 6th floor
(2-26 Washington Street Entrance)
New York, NY 10004

ACCOUNTING AND TAX

| | | | |
|---|--|--------------------|------------------------|
| Brokerage Accounting | Learn how to assess the effects of a firm's own transactions on its capital, financial statements and reports with an emphasis on regulatory requirements. | Sept 18 \$2,150 | 2 Days Intermediate |
| Tax Concepts for Finance | Gain a working knowledge of tax law and an appreciation of the impact it has on finance decisions and how they alter the structuring of transactions. | Oct 30 \$2,150 | 2 Days Introductory |
| Accounting for Derivatives | Learn to recognize which characteristics of derivatives affect their accounting implications. | Nov 6 \$2,150 | 2 Days Intermediate |
| Introduction to Financial Accounting | Gain an in-depth introduction to accounting basics. | Nov 29 \$2,150 | 2 Days Introductory |

CORE FINANCE CONCEPTS

| | | | |
|---|--|--------------------|---|
| Fundamentals of the Securities Industry | Examine the terminology, principle players, recent changes and current trends in the securities industry. | Sept 18 \$2,150 | 2 Days Introductory |
| Statistical Concepts for the Marketplace | Geared towards the finance community, this statistics class draws examples from equity technical and fundamental analysis, and arbitrage. | Sept 12 \$1,275 | 4 Evenings Introductory |
| Finance for Non Financial Managers | Achieve a basic understanding of financial management and learn how to read and understand key elements of financial statements and reports. | Sept 27 \$2,150 | 2 Days Introductory |
| Introduction to Global Markets | Hear a variety of speakers deliver cutting edge overviews on developments in the global economy and how these affect the world of global finance. | Sept 28 \$1,675 | 6 Evenings Introductory |
| Introducing Wall Street | Join this essential eight-evening program and hear eight industry speakers explore the products and markets of Wall Street. | Oct 3 \$1,875 | 8 Evenings Introductory |
| Economic Indicators: Clues to the Future | Based on his best selling book, Bernard Baumohl explores the hidden clues to future economic trends and how to use the information for investment opportunities. | Oct 4 \$2,150 | 2 Days Introductory/ Intermediate |
| Introduction to Indexes | Learn about the construction and design of indexes; investment products and derivative products and the future of indexing for capital markets. | Oct 10 \$1,275 | 4 Evenings Introductory/ Intermediate |
| Essentials of Banking | Gain an overview of the fundamental principles underlying the money and banking system in the United States. | Nov 9 \$2,150 | 2 Days Introductory |
| Essentials of US Capital Markets | An introduction to the capital markets with an emphasis on fixed income, equities and the process of portfolio management. | Nov 13 \$2,950 | 3 Days Introductory |
| Fundamentals of the Securities Industry | Examine the terminology, principle players, recent changes and current trends in the securities industry. | Dec 18 \$2,150 | 2 Days Introductory |

CREDIT RISK

| | | | |
|---|---|-------------------|--|
| Introduction to Credit Risk Analysis | Gain a solid grounding in credit risk fundamentals with hands-on case studies. | Oct 23 \$1,350 | 1 Day Introductory |
| Demystifying Cash Flow | Use case studies to focus on the three components of the cash-flow statement: Operating, Investing and Financing. | Oct 30 \$1,350 | 1 Day Introductory/ Intermediate |

| FIXED INCOME | | | |
|--|--|--------------------|---|
| Fixed Income Suite | The essential introduction to fixed income markets – includes Fixed income Markets I & II, Bond Mathematics and Yield Curve Analysis. | Sept 11 \$4,350 | 5 Days Introductory/ Intermediate |
| Fixed Income Markets I | Gain a comprehensive overview of the fixed income market including basic bond terminology, bond fundamentals and yield calculations. | Sept 11 \$1,350 | 1 Day Introductory |
| Bond Mathematics | Explore bond price mathematics and yield as well as a variety of quantitative analytical methodologies. | Sept 12 \$1,350 | 1 Day Intermediate |
| Fixed Income Markets II | Continuing on from Fixed Income Markets I, examine the evolving products, changing marketplace and growing sophistication of the fixed income market. | Sept 13 \$2,150 | 2 Days Intermediate |
| Yield Curve Analysis | Learn about the construction, mathematics and analysis of the yield curve. | Sept 15 \$1,350 | 1 Day Intermediate |
| Fixed Income Markets I | Gain a comprehensive overview of the fixed income market including basic bond terminology, bond fundamentals and yield calculations. | Oct 18 \$1,475 | 8 Evenings Introductory |
| Mortgage Backed Securities | Focus on the types of MBS, factors that influence their investment characteristics, and analytic techniques used to evaluate risk and return. | Nov 20 \$1,350 | 1 Day Intermediate |
| Convertible Bonds | Learn about convertible bonds and the role they play in the fixed income markets. | Dec 11 \$2,150 | 2 Days Introductory |
| Fixed Income Markets I | Gain a comprehensive overview of the fixed income market including basic bond terminology, bond fundamentals and yield calculations. | Dec 11 \$1,350 | 1 Day Introductory |
| Fixed Income Mathematics | Benefit from this common sense approach to the mathematics of fixed income calculations. | Dec 18 \$2,150 | 2 Days Intermediate |
| INVESTMENT & PORTFOLIO MANAGEMENT | | | |
| Fundamentals of Investment Management | Focus on the nature of the investment management business; types of clients served, types of investments managed and making investment decisions. | Sept 12 \$1,350 | 1 Day Intermediate |
| Mutual Funds | Gain an understanding of mutual funds, including the uses of open-end and closed-end funds, and how best to select funds that fit an investor's needs. | Sept 20 \$2,150 | 2 Days Introductory/ Intermediate |
| Introduction to Emerging Markets | Learn how American companies, equity funds and commercial lenders should evaluate potential investment opportunities in the emerging markets. | Oct 10 \$1,350 | 1 Day Introductory |
| Introduction to Alternative Investments | Explore alternative investments for the individual investor; Real Estate, Hedge Funds, and Commodities. | Nov 14 \$1,275 | 4 Evenings Introductory/ Intermediate |
| Securities Analysis | Learn how to apply fundamental analysis to stocks and fixed income securities. | Dec 5 \$2,150 | 2 Days Introductory |
| Hedge Funds | A comprehensive overview of one of the fastest growing sectors of the asset management industry. | Dec 12 \$1,350 | 1 Day Intermediate |
| OPERATIONS AND COMPLIANCE | | | |
| Brokerage Operations | Understand which processes are brought into play after a trade occurs at a brokerage firm and learn how a full service broker-dealer operates. | Sept 11 \$1,575 | 10 Evenings Introductory |
| Compliance for the Securities Industry | Gain a thorough understanding of the regulatory bodies and regulations under which the securities industry operates in the United States. | Sept 14 \$1,575 | 10 Evenings Introductory |

OPERATIONS AND COMPLIANCE *continued*

| | | | |
|---|---|-------------------|------------------------|
| Global Securities Overview | Learn about global security trade flow and the participants involved in executing, booking, clearing and settling a global transaction. | Oct 4 \$1,350 | 1 Day Introductory |
| Best Execution and Transaction Cost Analysis | Gain a grounding in the fundamentals of Best Execution statistics. | Nov 9 \$2,150 | 2 Days Intermediate |
| Compliance for the Securities Industry | Gain a thorough understanding of the regulatory bodies and regulations under which the securities industry operates in the United States. | Nov 13 \$2,150 | 2 Days Introductory |
| Corporate Treasury Management | Achieve a practical grounding in treasury management tools and techniques. | Nov 28 \$3,750 | 4 Days Intermediate |
| Debt Instrument Transaction Processing | Through interactive process exercises and leader-led discussions, learn about all the elements that comprise transaction processing. | Dec 4 \$2,150 | 2 Days Introductory |
| Customer Protection Rule 15c3-3 | Examine the Customer Protection Rule, its possession and control requirements, and the departments involved in compliance with such requirements. | Oct 19 \$1,350 | 1 Day Intermediate |

RISK MANAGEMENT AND DERIVATIVES

| | | | |
|---|--|-------------------|------------------------|
| Options: Strategy & Pricing Theory | Examine market structure, trading strategies, and the features of listed calls and puts, and discuss the management of an options portfolio. | Nov 1 \$2,150 | 2 Days Introductory |
| Accounting for Derivatives | Learn to recognize the characteristics of derivatives which affect their accounting implications. | Nov 6 \$2,150 | 2 Days Intermediate |
| Demystifying Derivatives | Take the mystery out of the products which make up the world of derivatives and learn who uses derivatives products and why. | Nov 15 \$1,350 | 1 Day Introductory |
| Introduction to Operational Risk | Identify the challenges of measuring and managing operational risk and explore the benefits of ORM as a component of enterprise risk management. | Nov 20 \$1,350 | 1 Day Introductory |

STRUCTURED PRODUCTS

| | | | |
|--|---|-------------------|------------------------|
| Overview of Structured Products | Gain an overview of structured products from the point of view of both the issuer and the investor. | Oct 10 \$2,150 | 2 Days Introductory |
|--|---|-------------------|------------------------|

TECHNICAL ANALYSIS

| | | | |
|---|---|-------------------|-----------------------------|
| Technical Analysis with Ralph Acampora | Join Technical Analysis guru Ralph Acampora and develop a foundation in each type of tool and the various technical theories. | Oct 16 \$1,575 | 10 Evenings Introductory |
| Fusion Analysis | Review some of the basic tools of fundamental and technical analysis. | Nov 6 \$1,275 | 4 Evenings Advanced |

TRADING

| | | | |
|-------------------------------------|---|--------------------|----------------------------|
| Foreign Exchange Marketplace | Learn what makes the foreign exchange markets tick and how traders and analysts make their decisions. | Sept 14 \$1,375 | 6 Evenings Introductory |
| Bond Trading | Examine today's fixed income markets with a focus on trading and market tactics. Use trade simulations to look at optimal trading strategies. | Oct 6 \$1,375 | 6 Evenings Intermediate |
| Options Volatility Trading | This 'real-time' options trading class deals with functioning as a Market Maker/Specialist, but will also cover options as a means of expressing market opinions. | Nov 6 \$2,950 | 3 Days Advanced |






eLearning Courses

Flexible, Convenient and Comprehensive

Bringing our live training expertise to the world of the web, we have a library of eLearning courses covering a wide range of core financial concepts. Using interactive features and case studies, our modulated eLearning classes are a stimulating alternative to classroom-based learning.

Sign up for a FREE DEMO today. Visit www.nyif.com/eLearning

Five Easy Ways to Register

-  **Phone** 212 641 6616
Monday through Friday,
9:00 am–5:00 pm EST
-  **E-mail** customercare@nyif.com
-  **Fax** 212 641 2598
-  **Web** Full course agendas, secure registration and payment facilities at your fingertips: www.nyif.com/downtown
-  **Mail** Please send registration information to:
New York Institute of Finance
1330 Avenue of the Americas, 10th Floor
New York, NY 10019

Every attendee at a New York Institute of Finance course receives a **COMPLIMENTARY 6-month subscription to the Financial Times & FT.com.***



**USA and Canada residents only. Non-US and Canada residents receive an FT.com subscription only.*

Group Discounts

Group discounts are available on all of our classes. Please contact our Client Services team for more information.

For larger organizations, ask about our Learning Partnership Program (LPP). The LPP is an efficient and cost effective way to bring a wide range of Continuing Professional Education opportunities to your employees. The program offers large volume discounts when seats at our classes are bought as a package which can be used for any class throughout the year.

In-House Training Options

Group of 10 or More?

We can bring any class in-house to your company.

Our instructors travel all over the world taking New York Institute of Finance classes to our clients' locations. Each student receives the same quality learning experience that students receive at our campus based classes, with the same books and the same comprehensive class documentation.

Call our Business Development Managers at 212 641 6616 for more information.

Enrollment Policies

Full payment is required at least 10 business days before the course. Please note that your place is not guaranteed until payment is received.

Cancellation, Transfer and Substitution Policy: A full refund less a cancellation fee of 10% will be applied to all cancellations received in writing at least 10 business days before the event. No refund will be given for cancellations received less than 10 business days before the event. A charge of 10% of the course fee will be applied to all transfers.

Disclaimer: New York Institute of Finance reserves the right to alter the contents of this course and/or the course directors due to circumstances beyond its control. New York Institute of Finance is NOT responsible for covering airfare or other travel costs incurred by registrants, even in the event of course cancellation.

Day
Courses

Evening
Courses

eLearning
Courses



www.nyif.com/downtown



212-641-6616

Where

Wall Street

Goes to School

...Again

NEW YORK INSTITUTE OF FINANCE

1330 Avenue of the Americas
New York, NY 10019

RETURN SERVICE REQUESTED

PRESORTED
FIRST-CLASS MAIL
U.S. POSTAGE PAID
ANDREW
ASSOCIATES