QUEST
Professional Center

PROFESSIONAL TRAINING COURSE

Course No. 1434

Capital Markets & Securities Trading Training Course

INVESTMENT BANKING & CAPITAL MARKETS
FINANCE, INVESTMENT & BANKING

DURATION
5 Days

DELIVERY
Classroom

Course Overview

The Capital Markets & Securities Trading Training Course provides an advanced and practical framework for understanding the structure, operation, and dynamics of capital markets and securities trading. The course develops participants' ability to analyze financial instruments, understand market mechanisms, assess investment opportunities, manage trading risks, interpret market information, and support disciplined investment decisions within a professional financial environment.

Capital markets play a critical role in connecting issuers seeking capital with investors seeking opportunities for return, diversification, and portfolio growth. The course examines the relationship between primary and secondary markets and explores the roles of exchanges, brokers, dealers, institutional investors, asset managers, custodians, regulators, and other market participants. Participants will gain a clear understanding of how supply and demand, economic conditions, financial information, liquidity, investor sentiment, and corporate developments influence securities prices and market activity.

The program covers the practical aspects of securities analysis and trading, including equities, fixed-income securities, market pricing, yield analysis, trading orders, execution processes, liquidity, spreads, transaction costs, market data, portfolio construction, and risk management. It also introduces fundamental and technical analysis techniques and demonstrates how these approaches can be combined with broader market and financial analysis to support more informed investment and trading decisions.

A strong emphasis is placed on market integrity, governance, and risk management. Participants will examine market risk, credit risk, liquidity risk, operational risk, trading controls, information management, conflicts of interest, disclosure principles, and inappropriate trading practices. The course emphasizes the importance of disciplined processes, appropriate controls, and professional conduct in maintaining effective securities trading and investment activities.

Through market case studies, securities analysis exercises, trading simulations, portfolio workshops, scenario analysis, and practical risk assessment, the Capital Markets & Securities Trading Training Course enables participants to connect financial concepts with real-world market decisions. The program is suitable for banks, financial institutions, government entities, ministries, public sector organizations, large corporations, investment firms, treasury departments, and professionals working in capital markets, investment management, trading, risk, and financial analysis.

Objectives

- Analyze the structure and functions of capital markets and distinguish the roles of primary and secondary markets during the course.
- Evaluate the characteristics, risks, and return drivers of equities, bonds, and other major securities.
- Apply practical techniques for analyzing market prices, yields, liquidity, trading volume, and market indicators.
- Evaluate economic, financial, corporate, and market factors affecting securities prices and market trends.
- Develop disciplined approaches for selecting securities according to investment objectives, risk tolerance, and time horizon.
- Apply appropriate trading order and execution principles to improve transaction quality and manage execution risks.
- Assess market, credit, liquidity, and operational risks associated with securities trading and investment activities.
- Analyze the impact of financial disclosures, economic events, corporate announcements, and market information on trading decisions.
- Apply fundamental and technical analysis techniques to support structured investment and trading decisions.
- Design practical portfolio management approaches that support diversification, risk control, and performance monitoring.
- Strengthen the identification and management of conflicts of interest, sensitive information, and inappropriate market conduct.
- Align securities trading and investment activities with governance, risk management, compliance, and organizational objectives.

Who Should Attend

This course is designed for professionals working in capital markets, investment management, treasury, asset management, investment banking, portfolio management, financial analysis, and risk management. It is particularly relevant to Investment Managers, Portfolio Managers, Financial Analysts, Securities Traders, Capital Markets Specialists, Treasury Managers, Asset Management Professionals, Investment Bankers, Risk Professionals, and specialists responsible for executing, monitoring, or evaluating securities transactions.

The program is also suitable for Executives, Heads of Investment, Heads of Treasury, Capital Markets Directors, Portfolio Management Leaders, Investment Committee Members, and senior decision makers responsible for capital allocation, liquidity management, investment strategy, and financial market exposure. Professionals working in banks, financial institutions, government entities, ministries, public sector organizations, investment companies, and large corporations can benefit from the practical market analysis and trading frameworks covered in the course.

The course also provides value for Legal, Compliance, Internal Audit, Governance, and Risk professionals who need a strong understanding of securities trading processes, market structures, transaction controls, and investment risk. It is particularly appropriate for professionals involved in investment analysis, portfolio reporting, market surveillance, treasury operations, or the evaluation of market and credit exposures.

Learning Outcomes

- Explain the structure of capital markets and the functions of primary and secondary markets.
- Identify the characteristics, return drivers, and major risks associated with equities, bonds, and other securities.
- Analyze market prices, yields, trading volumes, liquidity indicators, and other relevant market information.
- Evaluate economic, financial, corporate, and market factors that influence securities prices.
- Apply fundamental analysis techniques to assess the financial and investment characteristics of securities.
- Apply technical analysis techniques to identify market trends, price patterns, and trading signals.
- Select securities according to defined investment objectives, risk tolerance, liquidity needs, and investment horizons.

- Analyze trading orders, transaction execution, spreads, liquidity, and transaction costs.
- Evaluate market, credit, liquidity, and operational risks across securities trading activities.
- Develop diversified investment portfolios and monitor their performance and risk characteristics.
- Assess the impact of corporate announcements, economic data, market events, and disclosures on investment decisions.
- Prepare a structured securities market and portfolio analysis that supports investment, trading, and risk management decisions.

Course Outline

DAY 01

Capital Markets Structure and Securities Market Foundations

- Role and importance of capital markets in corporate, government, and financial institution funding
- Primary markets and secondary markets and their respective functions
- Stock exchanges, trading venues, brokers, dealers, custodians, asset managers, and other market participants
- Major securities including equities, bonds, and other investment instruments
- Relationship between risk, return, liquidity, and investment horizon
- Price discovery, supply and demand, market efficiency, and information flow
- Economic and financial factors influencing capital market performance

> **PRACTICAL APPLICATION**
>
> Analyze the structure of a selected capital market and map the roles, relationships, and risks of key market participants

DAY 02

Securities Analysis, Valuation and Investment Decision Making

- Principles of equity and fixed-income securities analysis
- Financial statement analysis and identification of key equity value drivers
- Fundamental analysis including profitability, liquidity, leverage, and growth

DAY 02 — CONTINUED

- Equity valuation using financial and market-based indicators
- Bond valuation, yield-to-maturity, duration, and credit spread analysis
- Impact of interest rates, inflation, economic growth, and monetary conditions on securities
- Technical analysis, price trends, trading volume, momentum, and market signals
- Integrating fundamental, technical, and market analysis into investment decisions

> **PRACTICAL APPLICATION**
>
> Analyze a portfolio of securities and assess their valuation, expected return, risk, and investment suitability

DAY 03

Securities Trading, Order Execution and Trading Risk Management

- Types of securities trading orders and their applications
- Market orders, limit orders, stop orders, and execution considerations
- Bid-ask spreads, market depth, liquidity, and transaction costs
- Trade execution, clearing, settlement, and custody processes
- Position management, trading limits, and exposure controls
- Market volatility and price risk
- Credit risk, liquidity risk, and operational risk in securities trading
- Internal controls, segregation of duties, and trading authorization frameworks

> **PRACTICAL APPLICATION**
>
> Conduct a trading simulation and evaluate execution quality, transaction costs, liquidity, and risk outcomes

DAY 04

Portfolio Management, Investment Strategies and Market Conduct

- Principles of portfolio construction and investment strategy
- Diversification, asset allocation, concentration, and risk budgeting
- Defining portfolio objectives, risk tolerance, liquidity requirements, and investment horizons
- Portfolio performance measurement and risk-adjusted performance evaluation
- Portfolio rebalancing and management of deviations from target allocations
- Impact of economic data, market news, and corporate developments on investment portfolios
- Conflicts of interest, sensitive information, professional conduct, and information controls
- Market manipulation risks, inappropriate trading practices, and market integrity controls

> **PRACTICAL APPLICATION**
>
> Construct and evaluate an investment portfolio and develop a practical rebalancing and risk management strategy

DAY 05

Capital Markets Governance, Risk Oversight and Advanced Trading Strategy

- Governance frameworks for securities trading and investment activities
- Disclosure, transparency, investor protection, and market integrity principles
- Ongoing monitoring of trading activities and identification of unusual market patterns
- Advanced market and portfolio risk management in volatile market environments
- Scenario analysis and stress testing for investment and trading portfolios
- Development of investment policies, trading limits, risk controls, and escalation procedures
- Executive and investment committee reporting for market and portfolio risk
- Integration of capital markets activities with treasury, liquidity, investment, and corporate finance strategies
- Improving investment decision making through structured data analysis and market intelligence

DAY 05 — CONTINUED

FINAL WORKSHOP

Develop and present a comprehensive securities trading and investment strategy covering market analysis, security selection, trade execution, portfolio construction, risk management, governance, and performance monitoring

Register or Request More Information

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