# Certified Securities Operations Professional (CSOP) Training

20 – 24 September 2027
Los Angeles (USA)



# Certified Securities Operations Professional (CSOP) Training

**Ref:** 322845_216489 **Date:** 20 – 24 September 2027 **Location:** Los Angeles (USA) **Fees:** 5900 GBP

## Course Description

This intensive 1-week course prepares professionals for the Certified Securities Operations Professional CSOP certification. Participants will gain comprehensive knowledge of securities types, regulations, operational controls, and industry structures. The course covers essential topics in securities operations, equipping attendees with the skills needed to excel in their roles and pass the CSOP examination.

## Learning Objectives

- Understand various types of securities and their characteristics
- Master regulatory compliance in securities operations
- Develop proficiency in controls, reconciliation, and audit practices
- Gain insight into key industry structures and their roles
- Prepare thoroughly for the CSOP certification examination

## Course Modules

### Day 1: Introduction to Securities

- Overview of securities markets
- Equity securities
- Debt securities
- Derivatives and specialized products

### Day 2: Regulatory Environment

- Securities Acts and SEC regulations
- FINRA and MSRB rules
- AML and KYC requirements
- International regulatory considerations

### Day 3: Operational Controls and Risk Management

- Trade lifecycle and processing
- Reconciliation procedures
- Risk management in securities operations
- Audit practices and internal controls



### Day 4: Industry Structures and Market Participants

- Exchanges and alternative trading systems
- Clearing corporations and depositories
- Broker-dealers and custodians
- Investment banks and asset managers

### Day 5: Advanced Topics and Exam Preparation

- Corporate actions processing
- Securities lending and borrowing
- Emerging technologies in securities operations
- CSOP exam strategies and practice questions

## Practical Wins for Participants

- Enhanced ability to manage complex securities operations
- Improved regulatory compliance and risk management skills
- Increased efficiency in trade processing and reconciliation
- Readiness to pursue CSOP certification and career advancement

