

# SECURITIES OPERATIONS GRADUATE

## Curriculum

### New Developments in Securities Operations Industry

#### Regulatory Environment

USA Patriot Act  
G-L-B Act  
Uniform Principal & Income Act (Revised)  
Uniform Prudent Investor Act (Total Return Trusts)

#### Outsourcing

Analysis and Decision Making  
Vendor Selection and Analysis

#### Risk Management and Compliance

Identification  
Control and Management  
Performance of the Assessment  
Presenting the Results of the Assessment  
Operational Risk and Control Assessment Case Study

#### Building a Compliance Monitoring Program

#### Audits & Examinations

Regulatory Hot Buttons  
Preparation  
Conducting Self-Audits

#### Unique/Special Assets

Pricing Issues

#### Derivatives

Risk  
Control  
Processing

#### Global-Custody

#### Straight-Through Processing

#### New Security Types and Features

Securities Value Chain  
Insurance Products  
Adjustable-rate Securities

#### Product-Line Updates

Personal Trusts  
Retirement Plans  
Custody Services  
Corporate Trust & Agency  
Investment Management

#### Questions and Answers

With over forty years of practical training, Cannon has developed the ideal course for experienced professionals to gain skills and technical knowledge necessary to stay up-to-date in the complex and ever-changing world of Securities Operations. This course is designed for experienced Securities Operations professionals and graduates of Securities Operations Schools who want to test and fine tune their skills as well as keep abreast of the latest changes in the field and share ideas with other professionals.

## Who Should Attend

- Securities Operations Professionals with at least five years of experience
- Graduates of qualified schools
- Certified Securities Operations Professionals (CSOPs™) seeking qualified continuing education
- Those seeking CE credit for other certifications and licenses
- Other Brokerage/Securities Personnel
- Persons responsible for Securities Operations compliance and/or operations
- A Securities Operations Manager interested in expanding technical knowledge
- Trust Operations Personnel
- Trust Administrative Personnel with trust operations responsibilities
- Trust Auditors
- Trust Compliance Officers
- Risk Management Officers
- Federal and State Regulators
- Trust System Vendors

## Class Schedule

Registration and orientation take place on Sunday afternoon and class begins on Monday at 8:00 AM. The one-week session closes on Friday at 3:00 PM. Attendance is mandatory at all sessions.

## Faculty

### Duane E. Lee, II

Executive Vice President  
Cannon Financial Institute  
Athens, GA

### Matthew C. Eby

Cannon Financial Institute  
Athens, GA

### Joanne J. Eby

President  
Nth Degree Financial Solutions  
Chicago, IL

Securities Operations professionals holding the Certified Securities Operations Professional (CSOP™) designation are required to earn 30 credit hours of continuing education every three years. This course exceeds the minimum standards in each subject area and provides 36 total hours of comprehensive and timely updates of issues vital to the industry.

## Key Benefits

- Enhance your professionalism by maintaining the Certified Securities Operations Professional designation
- Learn what regulators expect in key areas
- Interact with leading Securities Operations Professionals from financial organizations nationwide, creating a network of professional contacts
- Acquire an in-depth knowledge to better serve your clients
- Upon completion of the school, participants will take back to their jobs timely, relevant ideas, tools and skills to apply immediately in their day-to-day responsibilities
- Relevant and up-to-date coverage of securities operations services and support functions
- Networking of shared operational problems and internal control improvements between students and faculty

## COURSES



## LOCATIONS



Boston, MA

REGISTER

COURSES