



# Securities Trade Lifecycle and Settlement Operations Course

25 – 29 July 2027  
Manama

## Securities Trade Lifecycle and Settlement Operations Course

**Ref:** 440\_135530 **Date:** 25 – 29 July 2027 **Location:** Manama **Fees:** 4700 Euro

### Overview

Securities Trade Lifecycle and Settlement Operations Course is a five-day foundation course for securities operations, brokerage, custody, settlement, investment operations, and finance professionals, who leave with a Securities Trade Lifecycle Control File. The course follows a trade from order capture and execution through validation, confirmation, allocation, clearing, settlement, reconciliation, corporate actions, and asset servicing. Agile Leaders Training Center provides foundation training in securities trade lifecycle and settlement operations.

### Who Should Attend

- Securities operations functions responsible for trade capture and processing
- Brokerage operations functions responsible for confirmations and allocations
- Clearing and settlement functions responsible for instructions and finality
- Custody functions responsible for safekeeping and asset servicing
- Investment operations functions responsible for reconciliations and exceptions
- Risk and control functions responsible for post-trade oversight

The course assumes participants already handle transaction, position, account, or market information and leaves out advanced trading strategies, country-specific regulation, and specialist derivatives processing.

### Departments and Industries

The course supports departments that capture, validate, clear, settle, reconcile, safeguard, or service securities transactions across financial and institutional settings.

- Banks, brokerages, and investment firms
- Custodians and securities depository operations
- Asset managers, pension functions, and family offices
- Clearing, settlement, and market infrastructure teams
- Finance, treasury, and investment operations departments
- Risk, audit, and operational control functions

### Learning Objectives

By the end of this course, participants will be able to:



- Apply an end-to-end securities trade lifecycle map
- Use capture, validation, confirmation, and allocation controls
- Analyze clearing obligations and settlement instructions
- Build reconciliation and settlement-fail management records
- Evaluate custody, corporate-action, and asset-servicing processes
- Develop a securities trade lifecycle control file

## **Course Agenda**

### **Day 1: Markets, Participants, and Trade Capture**

- Securities Instrument and Market Participant Map
- Order Capture and Execution Record
- Trade Date and Value Date Timeline
- Front-to-Back Responsibility Matrix
- Trade Lifecycle Process Map

### **Day 2: Validation, Confirmation, and Allocation**

- Trade Validation and Enrichment Checklist
- Confirmation Matching Control Sheet
- Institutional Allocation Instruction Record
- Standard Settlement Instruction Register
- Trade Exception Classification Log

### **Day 3: Clearing and Settlement**

- Central Counterparty Clearing Flow
- Netting and Settlement Obligation Schedule
- Central Securities Depository Role Map
- Delivery versus Payment Settlement Diagram
- Settlement Finality and Cut-Off Control

### **Day 4: Reconciliation and Asset Servicing**

- Cash and Securities Reconciliation Sheet
- Settlement Fail Queue and Escalation Path
- Custody Safekeeping Control Matrix
- Corporate Action Event Diary
- Asset Servicing Entitlement Review



## **Day 5: Securities Operations Practice**

- Exercise: Trade Capture and Confirmation Review
- Exercise: Clearing and Settlement Instruction Analysis
- Exercise: Reconciliation and Fail Resolution
- Exercise: Corporate Action and Custody Control Review
- Capstone Exercise: Securities Trade Lifecycle Control File

## **Practical Exercises**

The course includes the following suggested activities:

- Suggested activity: map participants, instruments, accounts, instructions, and handoffs across a securities transaction.
- Suggested activity: validate a trade, complete confirmation and allocation checks, and prepare settlement instructions.
- Suggested activity: investigate unmatched positions, settlement fails, cash differences, and custody exceptions using control records.
- Suggested activity: assemble lifecycle evidence, reconciliations, corporate-action records, and escalation actions into one control file.

## **FAQs**

### **Who suits the securities trade lifecycle course, and what does it assume?**

The course suits securities, brokerage, clearing, settlement, custody, investment operations, and control functions and assumes workplace exposure to transaction, position, account, or market information.

### **How does securities trade lifecycle training differ from trading strategy training?**

Securities trade lifecycle training focuses on operational processing and controls after an order is placed, while trading strategy training focuses on market analysis, position selection, and execution decisions.

### **What happens during securities clearing and settlement?**

Clearing establishes and manages transaction obligations, while settlement completes the transfer of securities and money according to matched instructions and the applicable settlement arrangement.

### **Why is reconciliation important in securities operations?**

Reconciliation compares internal and external trade, position, cash, and account records so teams can identify differences, investigate causes, and control unresolved items.



## **How do corporate actions affect the securities trade lifecycle?**

Corporate actions create entitlement, election, instruction, payment, and position changes that custody and asset-servicing teams must record, validate, reconcile, and communicate.

## **Conclusion**

Participants take back a Securities Trade Lifecycle Control File containing process maps, capture records, validation checks, confirmations, allocations, settlement instructions, reconciliations, fail records, and asset-servicing evidence. The file connects operational handoffs and control points in one traceable record. It gives teams a working basis for processing transactions, resolving exceptions, and reviewing post-trade risk.