



# Trading Floor Operations and Control Systems Training Course

19 – 23 July 2027  
New York

## Trading Floor Operations and Control Systems Training Course

**Ref:** 473\_137962 **Date:** 19 – 23 July 2027 **Location:** New York **Fees:** 12000 Euro

### Overview

Trading Floor Operations and Control Systems Training Course is a five-day professional course for dealing, trade support, middle office, market risk, operations, treasury, compliance, and technology teams who leave with a Trading Floor Daily Control File. Participants connect order capture, execution, market data, positions, profit and loss, limits, confirmations, settlement, reconciliation, platforms, access, continuity, surveillance, and exceptions. The course turns trading activity into controlled evidence. Agile Leaders Training Center presents trading-floor operations through system workflows and daily governance artifacts.

### Who Should Attend

- Front-office functions responsible for orders, execution, and accurate trade capture
- Middle-office teams responsible for validation, positions, profit and loss, and limits
- Operations functions responsible for confirmation, settlement, and reconciliation
- Market-risk and compliance teams responsible for surveillance and exception escalation
- Technology support responsible for platform access, interfaces, and continuity
- Control managers responsible for daily evidence, ownership, and governance

The course assumes participants already work with financial-market trades, treasury dealing, risk, operations, compliance, or trading technology and leaves out investment advice, technical analysis, and securities valuation.

### Departments and Industries

The course supports departments and industries that execute, control, process, support, or oversee trading-floor activity.

- Front office, middle office, back office, and product-control functions
- Treasury, market risk, compliance, surveillance, and internal control teams
- Banks, investment firms, asset managers, and insurance organizations
- Energy, commodities, manufacturing, and transportation enterprises
- Technology, market-data, infrastructure, and business-continuity functions
- Finance, accounting, audit, and governance offices

### Learning Objectives

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



- Analyze the front-to-back trade lifecycle and control handoffs
- Apply order, execution, capture, and market-data checks
- Build position, profit-and-loss, limit, and exception controls
- Evaluate confirmation, settlement, and reconciliation evidence
- Diagnose platform access, interface, continuity, and operational risks
- Design surveillance, escalation, and daily governance routines

## **Course Agenda**

### **Day 1: Trade Lifecycle and Roles**

- Front-to-Back Trade Lifecycle Map
- Front, Middle, and Back Office Responsibility Matrix
- Order-to-Execution Workflow
- Trade Capture Data Quality Checklist
- Control Handoff and Evidence Register

### **Day 2: Positions, Valuation, and Limits**

- Market and Reference Data Control Map
- Position Reconciliation Dashboard
- Daily Profit-and-Loss Attribution Bridge
- Trading Limit Monitoring Matrix
- Valuation Exception Investigation Log

### **Day 3: Confirmation, Settlement, and Reconciliation**

- Trade Validation and Confirmation Workflow
- Settlement Instruction and Status Tracker
- Cash and Securities Movement Map
- Failed-Trade Root Cause Grid
- Break Reconciliation and Resolution Register

### **Day 4: Systems, Resilience, and Surveillance**

- Trading Platform Interface Architecture
- User Access and Segregation Checklist
- Business Continuity Scenario Playbook
- Trading Surveillance Alert Workflow
- Operational Risk and Escalation Matrix



## Day 5: Trading Floor Control Practice

- Suggested Exercise: Trace a Trade Across Control Handoffs
- Suggested Exercise: Reconcile Positions and Profit and Loss
- Suggested Exercise: Resolve a Settlement Break
- Suggested Exercise: Test Platform Access and Continuity Controls
- Capstone Exercise: Trading Floor Daily Control File

## Practical Exercises

The course uses suggested activities to connect trade data, system handoffs, risk controls, processing evidence, and daily governance.

- Suggested activity: trace a treasury or securities trade from order capture through settlement and accounting.
- Suggested activity: investigate position, profit-and-loss, limit, and valuation exceptions using linked evidence.
- Suggested activity: reconcile confirmation and settlement breaks and assign owners and escalation points.
- Suggested activity: assemble access, continuity, surveillance, exception, and daily sign-off records in the capstone file.

## FAQs

### What are trading floor operations?

Trading floor operations connect order capture, execution, validation, positions, profit and loss, limits, confirmation, settlement, reconciliation, platform support, surveillance, and daily control evidence.

### Who suits trading floor operations training, and what does it assume?

Dealing, trade-support, middle-office, risk, operations, treasury, compliance, technology, and control professionals suit the training. It assumes workplace exposure to financial-market trades or their supporting processes.

### How does trading floor operations training differ from investment training?

Trading floor operations training focuses on systems, processing, control handoffs, evidence, exceptions, and operational risk. Investment training usually focuses on security selection, portfolio construction, valuation, market views, or trading strategy.



## **How are trading-floor breaks controlled?**

Trading-floor breaks are controlled by detecting mismatches, validating source data, assigning ownership, investigating causes, recording adjustments, escalating aging items, and confirming resolution through reconciled evidence.

## **What belongs in a trading floor daily control file?**

A trading floor daily control file connects lifecycle checks, positions, profit and loss, limits, confirmations, settlement status, reconciliations, access reviews, surveillance alerts, continuity readiness, exceptions, owners, and sign-offs.

## **Conclusion**

Participants take back a Trading Floor Daily Control File connecting trade workflows, data, positions, profit and loss, limits, settlement, systems, surveillance, and exceptions. It changes dispersed checks into traceable daily governance. The file gives dealing, support, risk, operations, compliance, technology, and control teams shared evidence, owners, escalation paths, and sign-offs.