



Lywood David International Limited's

Auditing the Dealing room (Demystifying Treasury and Capital markets operations)

A COURSE DESIGNED SPECIFICALLY FOR CENTRAL BANK/REGULATORS' BANKING SUPERVISION PERSONNEL AND FINANCIAL INSTITUTION INTERNAL AUDITORS, TREASURY RISK MANAGERS AND THOSE RESPONSIBLE FOR TREASURY OPERATIONS/PROCESSING.

Course objectives

At the end of the course participants will...

- understand more fully the business transacted in your institution's Treasury and Capital markets dealing rooms
- following on from the Allfirst loss disclosures and the Ludwig report last year, be more aware of the use and misuse of the Foreign exchange, Money market, Bond and Derivative markets
- be able to identify potential risks before they adversely effect overall performance
- interpret regulatory requirements, Central Bank codes of conduct, financial market conventions and understand the rationale behind in-house rule books and compliance regulations
- appreciate the relevance of trading limits, accounting processes, P & L procedures and other internal risk management controls
- guarantee continuing responsible, effective audit of all market activities

Participant profile

Lywood David International Limited's Auditing the Dealing room course is designed specifically for financial institution internal auditors, perhaps themselves not having had personal exposure to the financial markets. The course alerts participants to potential dangers in dealing, enabling prompt identification of risks and ensuring recommended management controls are in place, well understood and respected by all involved - from dealer through back-office personnel to the highest level of senior management.

Presenters

Phil Parker and Steve McGann are the regular presenters on this course are possibly in a unique position to ensure that course participants will be able to fulfil these objectives.

Phil Parker, described as a "Poacher turned Gamekeeper" during his time as world-wide Treasury auditor for Lloyds Bank International, has over 40 years experience of dealing, audit and management information requirements deemed necessary to provide prudent levels of dealing management and risk control. He has been training for fifteen years.

Steve McGann runs his own consultancy company Techne Associates, combining training with a continuing professional interest in cash, bond and derivative markets together with their associated risks. He brings to this course a wealth of experience as an ex-practitioner, broker, technical analyst and trainer.

The Course

The **Auditing the Dealing room** course, now five full days, contains important information for your institution's audit, compliance and risk management personnel. It seeks to address the overall environment of discipline vital to the control of trading activities and risks at every stage in the dealing, processing, settlement and accounting cycles.

In particular the course looks at the lessons to be learnt from LBI Lugano, Barings, Allfirst, NAB and other frighteningly similar recurring dealing room problems. It covers a wide range of Treasury and Capital market activities of which the internal auditor / risk manager must be fully aware when approaching the dealing room audit and management control functions.

The **Auditing the Dealing room** course is popular with Central Bank Banking supervision departments and has been presented in overseas centres on several occasions both on behalf of the Central Bank for the benefit of local commercial banks and on an in-house basis at the request of individual client institutions. If this approach is favoured please contact the company direct.

The company

LYWOOD DAVID INTERNATIONAL LIMITED is a company dedicated to the promotion of a greater understanding of the international financial markets amongst all participants. The company's aim is to provide high quality and affordable training and education on Treasury and Capital markets issues to as wide a range of people as possible - this being achieved through offering open training courses plus in-house consultancy services to individual client institutions globally. The company has worked extensively in the EU and the developing financial markets of central and eastern Europe, the Caribbean, Africa, India, the Middle and the Far East.

Now in its fifteenth year, **Lywood David International Limited** continues to offer a wide range of such training courses specifically targeted at financial markets professionals. These are presented by experienced practitioners and trainers putting great emphasis on the practical reinforcement of issues covered using the latest technology. Further details are available on the company's website: www.lywood-david.co.uk

Bespoke training

LYWOOD DAVID INTERNATIONAL LIMITED's training events can be tailored to suit a financial institution's training needs and presented exclusively in-house. This becomes cost effective in London at around 6 - 7 participants, more quickly when long distance travel and accommodation costs need to be taken into consideration. Don't miss this opportunity to let your personnel benefit from participation on this unique workshop approach.

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Please note this course is no longer offered on an Open basis by Lywood David International Limited. A similar training approach can be found in the MIS course **Auditing the Treasury function** (presented by Phil Parker) – details available through www.mistieurope.com