

2020 Program Outline

Online Training from CapitalWave Inc.



Technology Enabled Learning™

CLOUD BASED TRAINING:

Every organization seeks to insure that new graduates, new hires, and current employees add value to the business quickly and consistently. It has become ever more critical to onboard and train employees cost-effectively, as well as to ensure all staff are up-to-speed with new products, new techniques and changes in the marketplace.

The Blockchain Academy provides the latest market training delivered in a format that is the latest talked about solution by forward-looking firms such as Gartner, Cisco and Forrester. Our solution is video-based training deployed via the cloud, and supported by written content, quizzes, exams and trainer access. The highest rate of learning adoption currently is via video-delivery. Not only does it provide repeatable and flexible delivery, but users are better engaged, capable of accessing training from any device, and remain in a managed program. Video training is typically delivered for a fraction of the cost compared to traditional live-training formats.

Our *Technology Enabled Training* is available via any internet connected computer, tablet or smartphone. The entire catalog, as well as a customized group of specific programs, can be deployed across your entire company.

For employees

- Participate in a scheduled program
- Integrate training with daily workflow
- Explore topics in all aspects of the Capital and Wealth Markets
- Increase your financial acumen and skills
- Research individual program to find answer to specific questions
- Enhance professional development

For management

- Turn-key solution deployed via the cloud
- Promote both individual and group learning
- Provide employee performance support
- Support employee onboarding
- Simplify and facilitate transitioning staff
- Supplement and/or replace books
- Manage financial skills of your staff
- Reduce and/or eliminate logistic costs from direct training solutions

Main features

- Expert Instructors
- Custom learning paths
- Downloadable resource material
- Online note taking
- Certificates of completion
- Entire catalog access
- Mobile device access
- Detailed reporting at group, course, and user level
- Privacy and security
- Content updates at no additional cost

ONLINE VIDEO PROGRAMS

RISK & REGULATORY ACADEMY

Fundamentals of Risk Management
Foundations of Risk Management
Regulatory Fundamentals
Basel III: Regulatory Intensive

GLOBAL MARKETS ACADEMY

Fundamentals of Global Markets
Equity Market Fundamentals
Fixed Income Fundamentals
Bond & Financial Maths
Fundamentals of Forwards and Futures
Fundamentals of Options
Fundamentals of Swaps and FRAs
Fundamentals of Credit Derivatives
Analyst & Associate Graduate Training

INVESTMENT MANAGEMENT ACADEMY

Investment Management Intensive
Alternative Investments—Intensive
Fundamentals of Commodities

GLOBAL OPERATIONS ACADEMY

Security Operation Concepts
Fundamentals of Banking Operations
Security Trade Lifecycle
Fundamentals of Corporate Actions
Risks in Securities Operations

PROGRAMS COMING SOON...

Wealth Management Intensive
Investment Banking Fundamentals
Fundamentals of Forex
Commodities & Energy Fundamentals
FRM & APRM Certification Training

IMPLEMENTATION

Via our DLE or your LMS
Integration & Authentication options
Cloud Implementation
Accessible via computer, tablet and smartphones



400 Sylvan Avenue #106B
Englewood Cliffs, NJ 07632

www.CapitalWave.com
www.GlobalMarketsAcademy.com
www.InvestmentManagementAcademy.com
www.TheBlockchainAcademy.com

INTRODUCTION TO RISK MANAGEMENT

The Risk Management Foundations program delivers a comprehensive look at financial risk and the regulatory environment under which institutions operate. Focusing on core financial risks: market, credit and operational – and how international regulations affect the management of these risks. The Foundations course helps nurture a firm-wide culture of risk awareness. This program is equal to a 1-day program.

Module 1: Risk Management—an elevated approach

- The Risk Management Process
- What is Risk
- Financial Risk

Module 2: Types of Risk

- Market Risk
- Credit Risk
- Counterparty Risk
- Reputational Risk
- Operational Risk

Module 3: LTCM Case Study

- Lessons from, LTCM

Module 4: Credit and Counterparty Risk

- Credit Risk
- Problems with Credit Risk
- 2008 Risks
- 2015 Italian Bonds Case Study

Module 5: Reputational Risk

- Volkswagen Case Study
- Managing Reputational Risk

Module 6: Operational Risk

- Types of Operational Risk
- Internal & External Fraud
- BP Oil Spill Case Study
- Barings Bank Case Study
- NY BOT Case Study
- Knight Capital Case Study

Module 7: LCIM Case Study

- Personnel Risk
- Liquidity Risk
- ICAAP

Module 8: New Risks

- Terrorism
- Technology Risk
- Other Risks

Module 9: The Risk Managers Job

- Changes to the Role
- Measurement
- Management
- Regulatory

Module 10: Bank Regulation and Regulators

- A brief history
- Doff-Frank
- Basel Accords
- Pillar 1-2-3

Module 11: Corporate Governance and Risk Management

- Logic
- Conflict
- Scandalous Corporate Behavior
- Sarbanes Oxley

Module 12: MF Global Case Study

- Overview
- John Corzine
- PwC

Module 13: Summary of Risk Management

- Importance of Risk
- Risk and the Future

ONLINE VIDEO PROGRAMS

RISK & REGULATORY ACADEMY

- Introduction to Risk Management
- Foundations of Risk Management
- Regulatory Fundamentals
- Basel III: Regulatory Intensive

GLOBAL MARKETS ACADEMY

- Fundamentals of Global Markets
- Equity Market Fundamentals
- Fixed Income Fundamentals
- Bond & Financial Maths
- Fundamentals of Forwards and Futures
- Fundamentals of Options
- Fundamentals of Swaps and FRAs
- Fundamentals of Credit Derivatives
- Analyst & Associate Graduate Training

INVESTMENT MANAGEMENT ACADEMY

- Investment Management Intensive
- Alternative Investments—Intensive
- Fundamentals of Commodities

GLOBAL OPERATIONS ACADEMY

- Security Operation Concepts
- Fundamentals of Banking Operations
- Security Trade Lifecycle
- Fundamentals of Corporate Actions
- Risks in Securities Operations

PROGRAMS COMING SOON...

- Wealth Management Intensive
- Investment Banking Fundamentals
- Fundamentals of Forex
- Commodities & Energy Fundamentals
- FRM & APRM Certification Training

IMPLEMENTATION

- Via our DLE or your LMS
- Integration & Authentication options
- Cloud Implementation
- Accessible via computer, tablet and smartphones

Call us for Enterprise pricing.

US: +1 (212) 658-0012 | EMEA: +44 (0) 203 751 6250 | email: sales@capitalwave.com

© Copyright 2016-2020 CapitalWave Inc.

RRA_IRM_01

FOUNDATIONS OF RISK MANAGEMENT

The Foundations of Risk Management program delivers a comprehensive look at financial risk and the regulatory environment under which institutions operate. Focusing on core financial risks: market, credit and operational, and how internal regulations affect the management of these risks. This program helps nurture a firm-wide culture of risk awareness. This program is equal to a 9-day program. *This program is currently in production.*

Module 1: Functions of Banking

- Banks and Banking
- Different Bank Types
- Banking Risks
- Forces within the Banking Industry

Module 2: Managing Banks

- Balance Sheet and Income Statements
- Asset and Liability Management
- Load Losses
- Corporate Governance

Module 3: Banking Regulation

- Evolution of Risk Regulation in Banking
- Foundations of Bank Regulations
- International Regulation of Bank Risk
- Bank Regulation: Deposit Insurance

Module 4: Credit Risk

- Lenders Risk
- Lenders
- Borrowers
- Basic types of Credit Derivative
- Types of Credit Products
- Credit Process
- The Credit Analysis Process

Module 5: Credit Process and Credit Risk

- Portfolio Management
- Portfolio Risk
- Portfolio Credit Models
- Credit Monitoring
- Credit Agencies
- Credit Risk Assessment Tools
- Managing Defaults

Module 6: Market Risk

- Intro to Market Risk
- Basics of Financial Instruments
- Trading and Market Risk Management
- Market Risk Regulation

Module 7: Operational Risk

- Intro to Operational Risk
- Operational Risk Events
- Operational Loss Events
- Operational Risk Management
- Basel II and Operational Risk

Module 8: Regulatory Capital & Supervision

- Bank Regulatory Capital
- Types of Regulatory Capital under Basel II
- Bank Capital under Basel III
- Pillar 1—minimum Capital Requirements
- Pillar 2—Supervisory Review
- Pillar 3—Market Discipline
- International Cooperation
- Beyond Regulatory Capital

Module 9: Insurance Risk

- Intro to the Insurance Industry
- Property and Casualty Insurance
- Life Insurance
- Reinsurance
- Other Types of Risk
- Regulation and Supervision
- The role of Lloyd's of London

ONLINE VIDEO PROGRAMS

RISK & REGULATORY ACADEMY

- Introduction to Risk Management
- Foundations of Risk Management
- Regulatory Fundamentals
- Basel III: Regulatory Intensive

GLOBAL MARKETS ACADEMY

- Fundamentals of Global Markets
- Equity Market Fundamentals
- Fixed Income Fundamentals
- Bond & Financial Maths
- Fundamentals of Forwards and Futures
- Fundamentals of Options
- Fundamentals of Swaps and FRAs
- Fundamentals of Credit Derivatives
- Analyst & Associate Graduate Training

INVESTMENT MANAGEMENT ACADEMY

- Investment Management Intensive
- Alternative Investments—Intensive
- Fundamentals of Commodities

GLOBAL OPERATIONS ACADEMY

- Security Operation Concepts
- Fundamentals of Banking Operations
- Security Trade Lifecycle
- Fundamentals of Corporate Actions
- Risks in Securities Operations

PROGRAMS COMING SOON...

- Wealth Management Intensive
- Investment Banking Fundamentals
- Fundamentals of Forex
- Commodities & Energy Fundamentals
- FRM & APRM Certification Training

IMPLEMENTATION

- Via our DLE or your LMS
- Integration & Authentication options
- Cloud Implementation
- Accessible via computer, tablet and smartphones

Call us for Enterprise pricing.

US: +1 (212) 658-0012 | EMEA: +44 (0) 203 751 6250 | email: sales@capitalwave.com

© Copyright 2016-2020 CapitalWave Inc.

RRA_FRM_01

REGULATORY FUNDAMENTALS

The last few years have been extraordinary for Financial markets. Evolving regulatory frameworks in the US, UK, and continental Europe are changing the derivatives markets landscape for traders, risk managers, auditors, regulators, supervisors, and compliance officers. This interactive course will cover key regulatory components pertinent to global financial markets. The course is comprised of a presentation, case studies, and recent relevant articles by the instructor used to stimulate discussion amongst the participants. This program is equal to a 3-day program.

Module 1: Global Reforms

- Impact of Financial Crisis & G20 Reforms
- Legislative Process Key Players
- Regulatory Regime Structures
- Current Regulatory Landscape

Module 2: Capital

- Basel III Overview
- Definitions of Capital
- Development in RSAs
- Pillar 2 and capital buffers
- Pillar 3 Disclosures

Module 3: Leverage Ratio

- Framework & Disclosure

Module 4: Liquidity Risk

- Key Ratios
- LCR and NSFR
- Link to Capital
- TLAC capital surcharges

Module 5: Bank Resilience & Stress Testing

- Stress Testing Regimes
- BOE, ECV, and Federal Reserve
- CCAR, FDFS, AQR

Module 6: Recovery & Resolution

- BRDD
- Structural Reforms
- EU Banking Structural Reform
- UK Ringfencing
- US Dodd Frank “Too Big To Fail”

Module 7: Conduct & Markets

- TCF
- Market Conduct (e.g.. Libor / FS)
- KYC / AML (and Sanctions)
- Benchmarks
- MAD /MAR

Module 8: Derivative Regulation Europe

- EMIR
- MiFID II
- MiFIR
- CCPs
- Cross Border Implications

Module 9: Dodd Frank VII and VIII

- Overview of Regulation
- Swaps Data Reporting
- Margin / Collateral Requirements
- DFA Swaps push out

Module 10: Commodities

- Role of CFTC
- Commodity Position Limits

Module 11: Transparency & Transaction Reporting

- SEC CAT
- MiFID II Pre/post trade reporting equities
- MiFID ii Pre/post trade FI & Derivatives
- Transaction Reporting

Module 12: Trading

- HFT
- Algorithmic Trading
- Short Selling
- DFA Volker

Module 13: Consumer & Investor Protection

- RDR
- MiFID II
- MiFIR conduct of business provisions

Module 14: Culture

- Risk Governance
- Risk Appetite
- Risk Culture
- Compensation
- Accountability - BOD & Sr. Management

ONLINE VIDEO PROGRAMS

RISK & REGULATORY ACADEMY

- Introduction to Risk Management
- Foundations of Risk Management
- Regulatory Fundamentals
- Basel III: Regulatory Intensive

GLOBAL MARKETS ACADEMY

- Fundamentals of Global Markets
- Equity Market Fundamentals
- Fixed Income Fundamentals
- Bond & Financial Maths
- Fundamentals of Forwards and Futures
- Fundamentals of Options
- Fundamentals of Swaps and FRAs
- Fundamentals of Credit Derivatives
- Analyst & Associate Graduate Training

INVESTMENT MANAGEMENT ACADEMY

- Investment Management Intensive
- Alternative Investments—Intensive
- Fundamentals of Commodities

GLOBAL OPERATIONS ACADEMY

- Security Operation Concepts
- Fundamentals of Banking Operations
- Security Trade Lifecycle
- Fundamentals of Corporate Actions
- Risks in Securities Operations

PROGRAMS COMING SOON...

- Wealth Management Intensive
- Investment Banking Fundamentals
- Fundamentals of Forex
- Commodities & Energy Fundamentals
- FRM & APRM Certification Training

IMPLEMENTATION

- Via our DLE or your LMS
- Integration & Authentication options
- Cloud Implementation
- Accessible via computer, tablet and smartphones

Call us for Enterprise pricing.

US: +1 (212) 658-0012 | EMEA: +44 (0) 203 751 6250 | email: sales@capitalwave.com

© Copyright 2016-2020 CapitalWave Inc.

RRA_RF_01

BASEL III: REGULATORY INTENSIVE

This course covers the challenges and opportunities arising from the new regulatory changes from Basel III as well as other major European and US Regulatory pronouncements, and their implications for bank financial institutions. The program covers best practise for regulatory capital management in key areas such as: Credit and Market Risk Weighted Capitals, Operational Risk Capital, Liquidity Risk, Counterparty Risks, Concentration Risks, Risk Aggregation, Capital Allocation and Stress Testing. This program is equal to a 2-day program.

Module 1: Key Areas, Overview and Timing

- Basel III
- CRD IV
- EBA and other EU Special Reports
- UK Reports
- Dodd-Frank and Volker Rules

Module 2: Macro-Prudential Policies

- Financial Stability
- Ending / Managing “To-Big-To-Fail”
- Central Banks / Pillar II Supervision

Module 3: Rules for Banks

Module 4: Enhances Standards

- Quality of Capital / Capital Ratios
- Internal Model Refinements
- Capital Conservations
- Various Stress Testing
- Leverage Ratios
- Liquidity Ratios
- Resolution Plan
- Risk Governance and ALM
- Risk Committees

Module 5: OTC Derivatives

- Counter-party Risks and Rules
- Managing and Collateralization

Module 6: Investment & Investor Implications

- Securitization
- Collateral Hypothecation
- Compensation and Governance
- Credit Rating Agencies
- Hedge Funds and Private Equity Funds

Module 7: Bank Operational Rules

- Holding Company Structure
- Non-Bank institutions & SPVs
- Deposit Insurance
- Hedging Risk

Module 8: Current Key Focus of Banks

Module 9: Liquidity Risk

- Principles
- Framework
- Funds Transfer pricing
- Sources and Costs
- Measurement
- Management
- Reporting
- Contingency Plan

Module 10: Asset-Liability Concentration Risk

- Single Entities
- Industries
- Regions
- Countries
- Products

Module 11: Risk Aggregation

- Calculations of Regulatory Capital
- Integration of Risk Types
- Performance measurements
- Risk Bearing Capability
- Risk Appetite
- Planning, Budgeting and Performance
- Capital Adequacy
- Risk Buffers
- Capital Ratios
- Managing to Target Returns on Capital

Module 12: Stress Testing

- Regulatory expectations
- Bank expectations
- Stress Test Scenarios
- Credit Stress Testing
- Revers Stress Testing
- Stress Testing in the Risk Management Framework

ONLINE VIDEO PROGRAMS

RISK & REGULATORY ACADEMY

- Introduction to Risk Management
- Foundations of Risk Management
- Regulatory Fundamentals
- Basel III: Regulatory Intensive

GLOBAL MARKETS ACADEMY

- Fundamentals of Global Markets
- Equity Market Fundamentals
- Fixed Income Fundamentals
- Bond & Financial Maths
- Fundamentals of Forwards and Futures
- Fundamentals of Options
- Fundamentals of Swaps and FRAs
- Fundamentals of Credit Derivatives
- Analyst & Associate Graduate Training

INVESTMENT MANAGEMENT ACADEMY

- Investment Management Intensive
- Alternative Investments—Intensive
- Fundamentals of Commodities

GLOBAL OPERATIONS ACADEMY

- Security Operation Concepts
- Fundamentals of Banking Operations
- Security Trade Lifecycle
- Fundamentals of Corporate Actions
- Risks in Securities Operations

PROGRAMS COMING SOON...

- Wealth Management Intensive
- Investment Banking Fundamentals
- Fundamentals of Forex
- Commodities & Energy Fundamentals
- FRM & APRM Certification Training

IMPLEMENTATION

- Via our DLE or your LMS
- Integration & Authentication options
- Cloud Implementation
- Accessible via computer, tablet and smartphones

Call us for Enterprise pricing.

US: +1 (212) 658-0012 | EMEA: +44 (0) 203 751 6250 | email: sales@capitalwave.com

© Copyright 2016-2020 CapitalWave Inc.

RRA_BIII_01



CapitalWave Inc. is a firm made up of industry professionals having a reputation for providing first-rate training and consultancy to institutions in the capital and wealth markets. CapitalWave offers instructors and programs who have extensive knowledge, experience and expertise in the areas of banking and finance.

Blended learning is the philosophy on which the company was founded. Our training methodology, integrating theory with practice using our own very powerful training tools, creates a uniquely exciting and effective learning environment. The result pays immediate dividends in the retention of newly-learned concepts and their practical application in the financial marketplace.

For further information, please contact:

Bryant Nielson, Director

bryant.nielson@CapitalWave.com

<http://www.CapitalWave.com>

Telephone: US + (212) 658-0012
UK + 44 (0) 20 3751 6250
