

المعهد العربي للمحاسبين والقانونيين

ARAB INSTITUTE FOR ACCOUNTANTS & LEGAL



## SC3: Securities Consultants Certification



### Introduction

As part of our continuous efforts to improve the services provided to our students with consistently high quality products, and to maintain our leading position in the industry, we strive to provide pioneering Courses at AIAL.

Stock market Studies is the most popular educational initiative among school and university students in the UAE and beyond.

### Participants will learn:

Provide for Candidate's an high information about innovative services in conducting trading, clearing, settlement and depository of securities, in an efficient, transparent and liquid environment.

## Program Topics

# SC3

- Operate or control electronic or other platforms to trade securities
- Market real-estate investment interests, such as tenancy-in-common interests, that are securities
- "Placement agents" for private placements of securities
- Market or effect transactions in insurance products that are securities, such as variable annuities, or other investment products that are securities
- Provide support services to registered broker-dealers
- Extending Credit on New Issues
- Understanding Restrictions on Private Securities Transactions & Insider Trading
- Understanding in Restrictions on Short Sales
- Use of Electronic Media by Broker-Dealers
- Electronic Signatures
- Anti-Money Laundering Program
- Foreign Assets Control
- Business Continuity Plans
- Seeks to build project revenue by remaining alert to new business opportunities or expansion of business with the customer and advising senior operations management.

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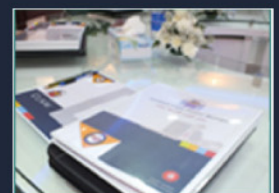
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COURSE STATIONARY



COURSE MATERIAL



PARKING