



# Financial Markets Operations Management (The Wiley Finance Series)

By Keith Dickinson



**Financial Markets Operations Management (The Wiley Finance Series)** By Keith Dickinson

## A comprehensive text on financial market operations management

*Financial Market Operations Management* offers anyone involved with administering, maintaining, and improving the IT systems within financial institutions a comprehensive text that covers all the essential information for managing operations. Written by Keith Dickinson—an expert on the topic—the book is comprehensive, practical, and covers the five essential areas of operations and management including participation and infrastructure, trade life cycle, asset servicing, technology, and the regulatory environment. This comprehensive guide also covers the limitations and boundaries of operational systems and focuses on their interaction with external parties including clients, counterparties, exchanges, and more.

This essential resource reviews the key aspects of operations management in detail, including an examination of the entire trade life cycle, new issue distribution of bonds and equities, securities financing, as well as corporate actions, accounting, and reconciliations. The author highlights specific operational processes and challenges and includes vital formulae, spreadsheet applications, and exhibits.

- Offers a comprehensive resource for operational staff in financial services
- Covers the key aspects of operations management
- Highlights operational processes and challenges
- Includes an instructors manual, a test bank, and a solution manual

This vital resource contains the information, processes, and illustrative examples needed for a clear understanding of financial market operations.

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### Editorial Review

From the Inside Flap

Filling a gap in the literature, *Financial Markets Operations Management* gives operations professionals a guide for navigating the settlement and post-settlement environment for securities and derivatives. Comprehensive in scope, the text covers the trade lifecycle for these financial products from trade capture, pre-settlement and settlement through to the custody of assets and asset servicing. Written by Keith Dickinson – a noted financial academic and practitioner – this important resource offers an understanding of operations as it pertains to financial instruments, data management, and various types of organisations.

*Financial Markets Operations Management* reviews the organisational structure of a typical investment company as well as the internal and external relationships that operations typically manage. The text explains the essential operational features and explores the transaction calculations, including accrued interest for bonds. The author then explores how the various intermediaries and market infrastructures enable lenders and borrowers to operate. The section on the post-trade processing phase contains the essentials on the clearing systems and distinguishes between clearing houses and central counterparties. Step by step, the text follows the initial post-trade processes of clearing and the pre-settlement forecasting of cash and securities and describes the different types of settlement including "Delivery versus Payment." Dickinson gives a clear explanation for the reasons trades fail to settle and what actions can be taken to manage failures.

In this practical resource, Dickinson includes an analysis of the complexities, processing requirements, and information flow of the most risky area within operations – Corporate Actions. *Financial Markets Operations Management* also describes the different forms of securities financing and explains the associated risks and the ways these risks are mitigated. The author explains how the securities transactions impact the profit & loss statement and balance sheet. The concluding chapter, reviews the importance of efficient and timely asset reconciliation and reveals how it can be used as a predictive tool to prevent problems from occurring.

This essential text covers the most crucial information for operational staff working in financial services and contains a wealth of formulas, questions and problems within each chapter, along with helpful spreadsheet applications and exhibits.

From the Back Cover

### A Comprehensive Text on Financial Markets Operations Management

Financial instrument operations are at the heart of any financial market business. The operations are complex and require knowledge and competency in a number of disparate areas. Understanding how to effectively manage operations is vital to the success of any financial organisation.

*Financial Markets Operations Management* is a comprehensive resource written by Keith Dickinson – an expert on the topic of financial markets – which covers the key aspects of operations management in detail. It includes coverage of topics such as an examination of the entire trade lifecycle, new issue distribution of bonds and equities, securities financing as well as corporate actions, accounting and reconciliations. Throughout the book, Dickinson puts the focus on specific operational processes and offers solutions for the myriad challenges that may be encountered. Designed to be practical, the text contains the most vital

formulas, spreadsheet applications and exhibits, end of chapter problems, and glossary.

Appropriate for all operational staff, *Financial Markets Operations Management* offers a clear guide for understanding the settlement and post-settlement environment for securities and derivatives. Written in highly accessible terms, this practical text covers the trade lifecycle for securities and derivative products from trade capture, pre-settlement and settlement through to the custody of assets and asset servicing. Financial professionals will find this important resource offers an approachable manual for completing day-to-day operations when managing complex financial instruments.

About the Author

**KEITH DICKINSON** is Director of The Settlement & Management Research Consultancy Limited, Principal of Financial Markets Training Limited and a Senior Teaching Fellow at the International Business School Suzhou at Xi'an Jiaotong-Liverpool University, Suzhou. His career has spanned twenty years as an industry practitioner in operations and over twenty years in executive education and academia.

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**Deborah Mele:**

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**Myron Mendez:**

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Exactly why? Because this Financial Markets Operations Management (The Wiley Finance Series) is an unordinary book that the inside of the publication waiting for you to snap the idea but latter it will zap you with the secret this inside. Reading this book adjacent to it was fantastic author who else write the book in such remarkable way makes the content interior easier to understand, entertaining means but still convey the

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