



Securities Operations: A Guide to Trade and Position Management

By Michael Simmons

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The only comprehensive account of operational risk in securities settlements Securities Operations focuses on the settlement aspects of a securities transaction. As financial analysts make a greater effort toward quantifying and managing operational risk, they are paying more attention to securities transactions in general and to the settlement phase in particular. While describing the practical issues, this book enumerates the different "back office" related risks potentially encountered throughout the settlement. Simmons also covers more advanced topics such as derivatives, trade compensation, internal allocation of funding costs, and operational performance measurement.

Michael Simmons (London, UK) is currently Head of Business Consultancy at Wilco International, a major software systems provider to the financial markets. Over the years, financial professionals around the world have looked to the Wiley Finance series and its wide array of bestselling books for the knowledge, insights, and techniques that are essential to success in financial markets. As the pace of change in financial markets and instruments quickens, Wiley Finance continues to respond. With critically acclaimed books by leading thinkers on value investing, risk management, asset allocation, and many other critical subjects, the Wiley Finance series provides the financial community with information they want. Written to provide professionals and individuals with the most current thinking from the best minds in the industry, it is no wonder that the Wiley Finance series is the first and last stop for financial professionals looking to increase their financial expertise.

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Editorial Review

Review

"...Securities Operations provides an accessible and thorough review of the world of securities processing...its language is clear and its structure is excellent...Importantly, the author compliments this overview with useful worked examples and diagrammatic representations that add greatly to the readers understanding..." (GSCS Benchmarks, Vol.10, No.5)

From the Inside Flap

As the securities industry becomes increasingly automated, understanding of the start-to-end operational processes and the underlying reasons as to why the tasks are performed is likely to diminish. Yet, knowledge of the 'bigger picture' is essential for implementing efficiencies and benefits. In this book, Michael Simmons clarifies the operational process from start to finish, highlighting appropriate risk management strategies.

The book:

- * Introduces the reasons for the existence of securities and describes the roles of the various participants within the industry
- * Develops the reader's knowledge of the trade lifecycle and other operational activities in a logical sequence
- * Describes real-life events to illustrate topics
- * Conveys both the risks inherent in the various activities and the necessary controls to minimise such risks
- * Provides descriptions of typical automation in today's operational processing environment
- * Describes securities industry objectives and the initiatives being developed to achieve them.

From the Back Cover

" A much needed work in the field. Simmons' book should become compulsory reading for those working in securities operations and settlements. This book is certainly one of the best references in the area." Dr Marcelo Cruz, CEO, RiskMaths

"A thorough and long overdue insight into the world of securities processing written in everyday language which will appeal to everyone from operations professionals to executive management. The book will find itself on many bookshelves in offices around the world." Kevin Milne, Executive Managing Director, Omgeo

"By applying a clear considered approach that draws upon the author's own experiences and offers real-life examples of the costs and risks of getting it wrong', this book gives the reader a solid foundation in all operational aspects of a high-profile and evolving industry." David Tarling, WestLB

The operational activities that follow a trade are an important and essential part of the securities industry's business. Written by an author with many years experience within this sector, Securities Operations: A Guide to Trade Position Management sets out to demystify the subject and provides a thorough, step-by-step introduction to securities operations.

Securities Operations: A Guide to Trade and Position Management is a comprehensive source for understanding operational processing of securities. Explaining in detail both the individual components their relation to each other within the operations process, the reader will gain a clear and thorough understanding of the subject, and in particular the potential risks involved and strategies to mitigate them.

Securities Operations: A Guide to Trade and Position Management is essential reading for all those involved

in the securities industry, from new recruits to those involved in both the day-to-day operations process and those within executive management. It will also be of value to those providing consultancy and software solutions to investment banks.

Users Review

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Karen Saldivar:

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