

IMPORTANT PROGRAMME DATES:

1 - 12 July 2019:

ECPE Training via Zoom Web Conferencing

25 - 26 July 2019:

ECPE Examination

Part I (Theory): 25th July 2019

9:00 - 11:00am **and** 1:00 - 3:00pm

Part II (Practical): 26th July 2019

9:00am - 12:00pm



**REGISTRATION
CLOSES ON
26 June 2019**

Success in the ECSM Certification Examination is one of the eligibility criteria for obtaining a licence to operate as a principal, representative or investment advisor in the ECSM.

For additional Information contact:

Eastern Caribbean Securities Regulatory Commission

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Eastern Caribbean Securities Exchange

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The Eastern Caribbean Securities Regulatory Commission (ECSRC) in collaboration with the Eastern Caribbean Securities Exchange (ECSE) will be hosting the **20th Eastern Caribbean Securities Market (ECSM) Certification Programme Workshop and Examination (ECPE)** from 1 to 26 July 2019.

PROGRAMME STRUCTURE:

PART I – Theory/Technical Module:

Delivered via Zoom Web Conferencing - **1st to 9th July** from **9:00 am to 4:00 pm**; with a 15-minute mid-morning break and a 2-hour break for lunch daily.

PART II – Practical Trading Module:

Delivered via Zoom Web Conferencing from **11th to 12th July** from **8:30am to 5:00pm**.

OBJECTIVES:

- ♦ to familiarize participants with the principles and operations of the Eastern Caribbean Securities Market (ECSM); and
- ♦ to prepare prospective market participants for the ECSM Certification Examination, and licensing as a principal, representative, or an investment adviser.

The course provides an overview of the ECSM, review of the Securities Act 2001 and Securities Regulations, brokerage operations and customer account management, licensee requirements and compliance, economic and financial analysis, basics of equities and bond market, portfolio management and asset allocation, practical software training on the trading and registry systems of the ECSE and ECCSD.

WHO SHOULD ATTEND?

The ECSM Certification Programme is targeted at persons with a background and/or experience in finance and investment, banking, accounting, and economics. The ideal candidate is someone with academic training and practical experience in securities market issues. Candidates will find that the Programme contains challenging theoretical and practical elements, which would equip them for responsibility in a broker-dealer firm or as an investment advisor. Candidates are expected to have a first degree and/or extensive experience in one of the recommended disciplines. **Persons desirous of re-sitting the examination or interested in refresher training may also register.**

ENROLL NOW by completing and submitting the attached Registration Forms, along with proof of fee payment to the contact details outlined on each Registration Form. **NOTE: You may register for either the Theory or Practical Module or both.**