

INVESTMENT REPRESENTATIVE PROGRAM

(Based on Series 7 - Certification guideline)



The Series-7 Certification is a license to work as a broker or a dealer in Bahrain's financial market



Human Resources Development Fund – Banking and Financial Sector (HRD Fund) in association with the Bahrain Institute of Banking and Finance (BIBF) present the Investment Representative designation, certified by the Central Bank of Bahrain and the Bahrain Institute of Banking and Finance (BIBF). The qualification mirrors the National Association of Securities Dealer's (NASD) Series-7 certification required of individuals selling and trading investment products in Bahrain.

The Central Bank of Bahrain requires that each professional involved in investment activities be certified as an Investment Representative.

The Investment Representative program provides comprehensive treatment of a broad range of products including equity securities, debt securities, options and mutual funds. The program also provides comprehensive treatment of investment banking, securities laws and regulations, trading procedures, margin accounts, customer accounts and direct participation programs.

Target Audience

- Stock Brokers and Dealers
 - Investment Products Marketing and Sales Professionals
 - Treasury and Back Office Professionals
 - Compliance and Control Professionals
 - Supervisory and Investment Staff
 - Investment Bankers
 - Portfolio Managers
 - Accounting Professionals
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Minimum Prerequisite Courses:

- B.Sc (Accounting, Banking, Finance, Business, Economics and Marketing from any recognized university)
 - TCMBP or BSDP (Advanced) Diplomas from the BIBF
 - Foundations of Investment Analysis 186
- All applications will be screened by the qualified staff of BIBF and HRD Fund officials.
- Candidates will have to sit an assessment test at BIBF

PROGRAM OUTLINE

SECTION ONE:

SECURITIES MARKETS & PRODUCT KNOWLEDGE

- Fundamentals of Debt Securities
- Corporate Bonds
- Government & Money Market
- Securities
- Equity Securities
- Municipal Bonds
- Investment Companies
- Primary Markets
- Secondary Markets

SECTION TWO:

THE BAHRAIN & ARAB CAPITAL MARKETS

- History, Function & By-Laws of the Bahrain
- Stock Exchange
- Regulations and Market Operations
- The Saudi Capital Market
- The U.A.E. Capital Markets

EXAMINATION 1

SECTION THREE:

NYSE & NASD, EQUITY & NON-EQUITY OPTIONS, TECHNICAL & FUNDAMENTAL ANALYSIS

- The New York Stock Exchange (NYSE)
- OTC & NASD Fundamentals of Options
- Option Strategies
- Non-Equity Options
- Fundamental Analysis
- Technical Analysis

EXAMINATION 2



صندوق تنمية الموارد البشرية
القطاع المصرفي والمالي

**Human Resources
Development Fund**
Banking & Financial Sector



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FACILITATOR

Dr .Sudhakar Raju currently holds an appointment as Professor of Finance at Rockhurst University in the United States. He has a Ph.D. in Finance as well as a Master's degree in Public Policy which he received from the Kennedy School of Government (KSG) at Harvard University. Dr. Raju was a Visiting Professor at BIBF between Sept.1998-Dec.1999. He has conducted programs on Portfolio Modeling, Risk Management, Derivatives Markets, as well as review courses for the Investment Representative Program and Chartered Financial Analyst (CFA) programs in Bahrain, Kuwait and U.A.E. Dr. Raju has been a Consultant to various organizations including the World Bank, United Nations, Chicago Board of Trade and the exotic derivatives desk at Aquila Energy. Dr. Raju received the FRM (Financial Risk Manager) designation in 2003. He is a recipient of the Missouri Governor's Award for Excellence in Teaching. In 2007, he received Harvard University's KSG Award for Teaching Excellence.