

### **Course Syllabus**

Managing Operational Risk in Financial Institutions, a level 4 CBT test, or the Diploma in Investment Operations, a level 6 certification, are recommended for those interested in obtaining a higher level Operations qualification. Anyone who passes Level 3 and Advanced Operational Risk by December 2015 will be eligible to study operational risk and earn the Level 6 Diploma in Investment Operations. This does not have a time restriction.

<b>S.N</b>	<b>Element</b>	<b>Questions</b>
<b>1</b>	Risk Basics	3
<b>2</b>	Other Major Risks	7
<b>3</b>	The Nature of Operational Risk	20
<b>4</b>	The Causes and Impacts of Operational Risk	4
<b>5</b>	Operational Risks Arising in the Trade Cycle	5
<b>6</b>	The Support and Control Functions	7
<b>7</b>	Operational Risk in the Regulatory Environment	4