

COURSE MAP

Asset Servicing Foundations

Risk, Data, and Client Operations in Institutional Finance

Delivery Model: Competency-based eLearning

Target Audience: Entry- to early-career asset servicing professionals

Program Objective

Equip asset servicing professionals with the financial, data, risk, and client communication capabilities required to operate effectively in a regulated, global institutional environment.

COURSE STRUCTURE OVERVIEW

Module	Title	Strategic Focus	Capability Outcomes
1	Foundations of Asset Servicing	Financial literacy & role clarity	Core Financial Understanding
2	Data, Reporting & Investment Operations	Data integrity & operational accuracy	Data Management & Systems Awareness
3	Risk, Compliance & Ethical Decision-Making	Regulatory risk & judgment	Compliance, Risk & Ethics
4	Client Operations & Communication	Client trust & service excellence	Client Communication & Professional Presence

MODULE DETAIL

MODULE 1

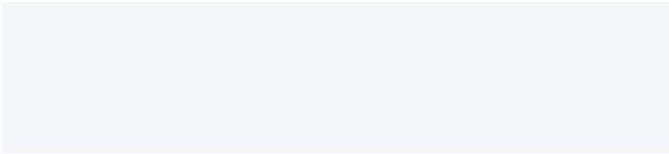
Foundations of Asset Servicing

Purpose	<i>Establish a shared foundation of financial concepts and clarify the role asset servicing plays within institutional investment operations.</i>
Learning Outcomes	<ul style="list-style-type: none"> ◆ Identify major asset classes and fund structures ◆ Explain the function of asset servicing within institutional finance ◆ Describe the end-to-end lifecycle of an investment transaction
Core Topics	<ul style="list-style-type: none"> ◆ Asset classes: equities, fixed income, alternatives ◆ Custody and fund administration functions ◆ Trade lifecycle: execution, settlement, and reporting
Learning Approach	<ul style="list-style-type: none"> ◆ Interactive visual: End-to-end trade flow ◆ Applied matching activity: asset classes and use cases ◆ Guided scenario: onboarding a pension fund client
Knowledge Validation	<ul style="list-style-type: none"> ◆ Understand custody responsibilities ◆ Correctly align asset types and examples ◆ Sequence the trade lifecycle accurately

M O D U L E 2

Data, Reporting & Investment Operations

Purpose	<i>Build confidence in interpreting financial reports, identifying data issues, and understanding how information moves across investment systems.</i>
Learning Outcomes	<ul style="list-style-type: none"> ◆ Identify core components of portfolio reporting ◆ Recognize common data discrepancies and their causes ◆ Describe how investment data flows across front- and back-office systems
Core Topics	<ul style="list-style-type: none"> ◆ Net Asset Value (NAV) fundamentals ◆ IBOR vs. ABOR records ◆ Data reconciliation and validation controls
Learning Approach	<ul style="list-style-type: none"> ◆ Scenario-based problem: reporting values do not reconcile



- ◆ Interactive comparison of clean vs. inconsistent data
- ◆ Simulated report review within a system environment

Knowledge Validation

- ◆ Identify reporting inconsistencies
- ◆ Distinguish accurate vs. flawed outputs
- ◆ Link data issues to underlying causes

MODULE 3
Risk, Compliance & Ethical Decision-Making

Purpose

Develop risk awareness, ethical judgment, and appropriate escalation behaviors aligned to regulatory expectations.

Learning Outcomes

- ◆ Identify indicators of suspicious or unethical activity
- ◆ Select appropriate escalation actions
- ◆ Describe professional ethical responsibilities in asset servicing roles

Core Topics

- ◆ AML fundamentals and suspicious activity patterns
- ◆ KYC and regulatory obligations
- ◆ Conflicts of interest and ethical standards

Learning Approach

- ◆ Branching Scenario: The \$9,500 Pattern
 - ◆ Learners assess account activity, choose responses, and observe regulatory, operational, and reputational consequences
- ★Portfolio Highlight — Signature branching scenario demonstrating consequence modeling**

Knowledge Validation

- ◆ Detect suspicious transaction behavior
- ◆ Select compliant escalation pathways
- ◆ Differentiate ethical vs. inappropriate responses

MODULE 4
Client Operations & Communication

Purpose

Strengthen client-facing effectiveness through clear communication, sound judgment, and service-oriented behaviors.

Learning Outcomes

- ◆ Apply effective communication strategies with institutional clients
- ◆ Explain complex financial discrepancies in clear, client-appropriate language
- ◆ Demonstrate service standards expected in high-stakes environments

Core Topics

- ◆ Translating financial information into clear explanations
- ◆ Managing and responding to client inquiries
- ◆ Professional service mindset in asset servicing

Learning Approach

- ◆ Client interaction scenario: responding to a reporting discrepancy
- ◆ Comparative examples of effective vs. ineffective communication
- ◆ Practice activity: rewriting technical explanations for clients

Knowledge Validation

- ◆ Identify strong client communication practices
- ◆ Select appropriate responses to client concerns
- ◆ Recognize clarity and tone in written explanations

CAPABILITY ALIGNMENT SUMMARY

Capability Area	Aligned Modules
Core Financial Understanding	Module 1
Data Management & Systems	Module 2
Compliance, Risk & Ethics	Module 3
Client Communication & Professional Presence	Module 4

Assessment	Instructional Approach	Program Outcome
Scenario-based knowledge validation embedded throughout each module	Visual models, applied scenarios, decision-making practice	Asset servicing professionals prepared to manage data accurately, act ethically, and communicate confidently with institutional clients