

Investment Foundations[®] Certificate

Learning Goals and Topics

Investment Foundations[®] Learning Goals

1. Give learners confidence and enhance credibility within their organizations by providing a basic understanding of the investment industry, including structure, functioning, ethical considerations, forces affecting its evolution, and commonly used vocabulary.
2. Elevate learners' ability to think critically, ask the right questions, and innovate in the investment industry.
3. Give learners the foundational concepts, tools, and techniques needed in their careers to open more doors.
4. Give learners the ability to skillfully communicate and collaborate with and provide support to investment management professionals.
5. Clarify job roles and responsibilities of those in the investment industry with whom they will work daily.
6. Provide proof of knowledge and understanding.

Course 1: Industry Overview and Structure

Module 1: Overview of the Investment Industry

- Lesson 1: What is the Financial Services Industry?
- Lesson 2: How Economies Benefit from the Existence of the Investment Industry
- Lesson 3: How Investors Benefit from the Existence of the Investment Industry
- Lesson 4: Investment Industry Participants

Module 2: Structure of the Investment Industry

- Lesson 1: Structure of Investment Firms
- Lesson 2: Investment Firm Staff and Leadership
- Lesson 3: Financial Institutions

Module 3: Introduction to Industry Services

- Lesson 1: Investment Management Services
- Lesson 2: Investment Information Services
- Lesson 3: Trading Services

Module 4: Financial Planning Services and Introduction to FinTech

- Lesson 1: Needs Served by the Investment Industry
- Lesson 2: Financial Planning Services
- Lesson 3: Introduction to FinTech
- Lesson 4: FinTech Applications

Module 5: Investment Professionalism and Regulations

- Lesson 1: Key Forces Driving the Investment Industry
- Lesson 2: Ethics and the Investment Industry
- Lesson 3: Financial Industry Regulation
- Lesson 4: Objectives of Regulation
- Lesson 5: Types of Regulation
- Lesson 6: Consequences of Compliance Failure

Course 2: Types and Functioning of Markets

Module 1: Types of Security Markets and Trading Venues

- Lesson 1: Primary and Secondary Security Markets
- Lesson 2: The Role of Issuers
- Lesson 3: Primary Market Transactions
- Lesson 4: Trading Venues
- Lesson 5: Market Structures

Module 2: Order Processing and Opportunities with Decentralised Finance

- Lesson 1: Positions
- Lesson 2: Orders
- Lesson 3: Clearing and Settlement
- Lesson 4: Transaction Costs
- Lesson 5: What is Decentralised Finance (DeFi)?

Module 3: Investment Vehicles: Pooled Investments, Exchange-Traded Funds, and Security Market Indices

- Lesson 1: Direct and Indirect Investments
- Lesson 2: Pooled Investments
- Lesson 3: Security Market Indices
- Lesson 4: Index Funds

Module 4: Investment Vehicles: Hedge Funds, Fund of Funds, and Managed Accounts

- Lesson 1: Hedge Funds
- Lesson 2: Fund of Funds
- Lesson 3: Managed Accounts

Course 3: Investment Instruments

Module 1: Quantitative Concepts

- Lesson 1: Time Value of Money
- Lesson 2: Present Value and Future Value
- Lesson 3: Net Present Value
- Lesson 4: Time Value of Money Applications
- Lesson 5: Descriptive Statistics
- Lesson 6: Measures of Dispersion
- Lesson 7: Normal Distribution
- Lesson 8: Correlation

Module 2: Introduction to Investment Instruments and Equity Securities

- Lesson 1: Introduction to Investment Instruments
- Lesson 2: Introduction to Equity Securities
- Lesson 3: Valuation of Common Shares
- Lesson 4: Risks of Investing in Equity Securities
- Lesson 5: Corporate Actions

Module 3: Debt Securities

- Lesson 1: Introduction to Debt Securities
- Lesson 2: Seniority Ranking
- Lesson 3: Types of Bonds
- Lesson 4: Bonds with Embedded Provisions
- Lesson 5: Valuation of Debt Securities
- Lesson 6: Risks of Investing in Debt Securities
- Lesson 7: Yield Curve
- Lesson 8: Comparing Equity and Debt Securities



Module 4: Derivatives

- Lesson 1: Introduction to Derivatives Contracts
- Lesson 2: Uses of Derivatives Contracts
- Lesson 3: Key Terms of Derivatives Contracts
- Lesson 4: Forwards and Futures
- Lesson 5: Options
- Lesson 6: Swaps

Module 5: Alternative Investments

- Lesson 1: Advantages and Limitations of Alternative Investments
- Lesson 2: Private Equity Investments
- Lesson 3: Real Estate Investments
- Lesson 4: Commodity Investments

Course 4: Investment Inputs and Tools

Module 1: Microeconomics

- Lesson 1: Introduction to Economics and Microeconomics
- Lesson 2: Demand and Supply
- Lesson 3: Market Equilibrium
- Lesson 4: Elasticities of Demand
- Lesson 5: Profit and Costs of Production
- Lesson 6: Market Environment

Manual 2: Macroeconomics

- Lesson 1: Introduction to Macroeconomics
- Lesson 2: Gross Domestic Product and the Business Cycle
- Lesson 3: Economic Growth
- Lesson 4: The Business Cycle
- Lesson 5: Economic Indicators
- Lesson 6: Inflation
- Lesson 7: Monetary and Fiscal Policies

Module 3: Economics of International Trade

- Lesson 1: Imports and Exports
- Lesson 2: Comparative Advantages Among Countries
- Lesson 3: Balance of Payments
- Lesson 4: Foreign Exchange Rate Systems
- Lesson 5: Value of Currencies
- Lesson 6: The Foreign Exchange Market

Module 4: Financial Statements

- Lesson 1: Roles in Financial Reporting
- Lesson 2: The Balance Sheet
- Lesson 3: The Income Statement
- Lesson 4: The Cash Flow Statement
- Lesson 5: Links Between Financial Statements
- Lesson 6: Financial Statement Analysis



Course 5: Serving Clients Needs

Module 1: Investors and Their Needs

- Lesson 1: Types and Characteristics of Investors
- Lesson 2: Factors that Affect Investors' Needs
- Lesson 3: Investment Policy Statements

Module 2: Investment Management

- Lesson 2: Introduction to Equity Securities
- Lesson 3: Valuation of Common Shares
- Lesson 4: Risks of Investing in Equity Securities
- Lesson 5: Corporate Actions

Module 3: Risk Management

- Lesson 1: Definition and Classification of Risks
- Lesson 2: The Risk Management Process
- Lesson 3: Risk Management Functions
- Lesson 4: Operational Risk
- Lesson 5: Compliance Risk
- Lesson 6: Investment Risk
- Lesson 7: Value at Risk (VaR)

Module 4: Performance Evaluation

- Lesson 1: The Performance Evaluation Process
- Lesson 2: Measures of Return
- Lesson 3: Benchmarks
- Lesson 4: Measures of Risk
- Lesson 4: Measures of Relative Performance
- Lesson 6: Alpha
- Lesson 7: Performance Attribution

Course 6: Serving the Greater Good

Module 1: Environmental, Social, and Governance (ESG) Investing

- Lesson 1: Approaches to Responsible Investing
- Lesson 2: Factors in ESG Investing
- Lesson 3: The Benefits and Challenges of ESG Adherence
- Lesson 4: Investor Engagement and Stewardship

Module 2: Diversity, Equity, and Inclusion (DEI) in Practice

- Lesson 1: Key Concepts in DEI
- Lesson 2: Bias Recognition and Mitigation
- Lesson 3: Best Practices and Success Metrics in DEI
- Lesson 4: Applying DEI Concepts in the Workplace

Module 3 – Part 1: Professionalism

- Lesson 1: Trust and Stakeholder Obligations
- Lesson 2: Ethics and Standards of Professional Conduct

Module 3 – Part 2: Ethical Decision-Making Framework

- Lesson 1: Benefits of Ethical Conduct and Consequences of Unethical Conduct
- Lesson 2: Ethical Decision-Making Framework

