

# Certificate in Financial Markets and Innovation



Welcome to

# Certificate in Financial Markets and Innovation

**Earn 10 PD Hours**

The Certificate in Financial Markets and Innovation offers valuable insights into financial market dynamics and the transformative role of technology, aligning the growing demand for expertise in financial markets and fintech. Designed for professionals at all career stages —whether early-career or seasoned industry leaders — this program combines knowledge of emerging technologies, regulatory frameworks, and market trends, equipping participants to confidently navigate and thrive in today’s rapidly evolving financial landscape.

In this course, you will explore essential topics such as financial market processes and products, regulatory frameworks, trading structures and workflows, and the role of technology and innovation in financial markets. This certificate is designed to enhance client service skills and cultivate forward-thinking strategies that integrate innovation with financial expertise. Offered in a flexible, on-demand e-learning format, the course includes interactive knowledge checks to support practical understanding.

**Delivery Methods:**

On Demand Learning

# Key Takeaways

## Upon completion of this certificate, you will learn how to:

- Recognize the unique roles and goals of different financial market participants, from investors and issuers to regulators.
- Analyze the roles of primary and secondary markets, highlighting their distinct functions in the lifecycle of securities.
- Discover how different products cater to various financial needs, including investment, hedging, and speculation.
- Observe how financial products evolve from issuance to maturity, and how this impacts their value and usage over time.
- Identify major global regulations, understanding how they shape financial practices and risk management.
- Recognize the potential consequences of non-compliance for market participants.
- Discuss the transformative impact of AI and data analytics on predictive modeling, risk assessment, and investment strategies.

## Who Will Benefit

This program is designed for CPAs and professionals looking to deepen their understanding of financial markets and deliver more comprehensive client solutions. It's especially valuable for:

- Accountants & Auditors: Enhance financial reporting and compliance with market knowledge
- Investment Analysts & Advisors: Strengthen analysis and advisory skills
- Business Analysts & Consultants: Improve strategic recommendations with market insights
- General Learners: Build a strong foundation for careers in finance

Whether specializing or expanding your skill set, this certificate equips you with the essential knowledge and tools to succeed in today's financial landscape.

## Earn a Digital Badge



Our new collection of digital badges can be earned through the completion of any of our certificate programs offered in our professional development catalogue. Collect these digital badges to add to your website, social profiles, email signature and more. These badges are an easy way to visually communicate your skills and accomplishments to your peers and network. Digital badges will be awarded based on course completion requirements.

# Certificate Outline

## Module 1

### Introduction to Financial Markets

- Understand the role of financial markets in the economy
- Identify key market participants: investors, issuers, intermediaries, and regulators
- Distinguish between primary and secondary markets and their functions

## Module 2

### Financial Market Processes and Products

- Learn about key financial instruments: equities, bonds, derivatives, mutual funds, and ETFs
- Understand how products support investment and risk management
- Explore issuance processes like IPOs, bond offerings, and structured products
- Assess risk and return characteristics across different instruments
- Follow the lifecycle of financial products from issuance to maturity

## Module 3

### Financial Market Regulations

- Understand the purpose of financial regulation in promoting transparency, preventing fraud, and protecting investors
- Explore key global regulations, including Dodd-Frank, MiFID II, and Basel III
- Learn compliance and reporting standards, and the consequences of non-compliance

## Module 4

### Market Structures and Trading Mechanisms

- Explore trading venues such as stock exchanges, electronic platforms, and dark pools
- Understand order types and how market, limit, and stop-loss orders are executed
- Learn trading mechanisms including auction and dealer markets
- Examine clearing and settlement processes that finalize trades

## Module 5

### Global and Emerging Markets

- Gain an overview of global financial market structures and the impact of globalization
- Understand key characteristics of emerging markets and strategies for managing related risks
- Learn the role of foreign exchange and currency markets in global trade

## Module 6

### Technology and Innovation in Financial Markets

- Explore fintech innovations and their impact on financial markets
- Understand AI applications in trading, risk assessment, and analytics
- Learn how big data and analytics support market analysis and decision-making
- Address cybersecurity risks and ethical considerations in digital finance



## ABOUT YOUR INSTRUCTOR

**Wei Yang**

**Wei Yang**, MBA, FRM, is an experienced leader in business and technology transformation, with a strong background in consulting, modernization, and change management. She currently serves as Director at Scotiabank, where she leads the global transformation strategy for the Wealth Management division. Throughout her career, Wei has advised clients across various industries on Anti-Money Laundering (AML) strategies and implemented innovative solutions that drive sustainable competitive advantage while optimizing costs. She holds a Finance degree from the University of Toronto, an MBA from the Rotman School of Management, and is a certified Financial Risk Manager (FRM).

## Have Questions? Speak to an Advisor.

To speak to one of our advisors, please fill out this [form](#).

