

# Investment Foundations<sup>®</sup> Certificate

## INVESTMENT FOUNDATIONS LEARNING GOALS

- **Empower learners to build credibility** within their organizations by mastering the core structure, functions, and ethical principles of the investment industry, along with its evolving trends and essential vocabulary.
- **Unlock critical thinking and innovation** by equipping learners to ask the right questions and drive meaningful change in the investment landscape.
- **Accelerate career growth** with industry-relevant concepts, tools, and techniques that open doors to new opportunities.
- **Foster expert communication and collaboration** skills, enabling learners to confidently support and contribute to investment management teams.

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## INVESTMENT FOUNDATIONS CURRICULUM

### 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 Decentralized Finance

- Lesson 1: Positions
- Lesson 2: Orders
- Lesson 3: Clearing and Settlement
- Lesson 4: Transaction Costs
- Lesson 5: What is Decentralized 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

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## **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

### **Module 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

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## 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 1: Risk and Portfolio Diversification
- Lesson 2: Asset Allocation and Portfolio Construction
- Lesson 3: Passive and Active Investment Management
- Lesson 4: Market Inefficiencies

### 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: Professionalism and Ethical Decision Making

- Lesson 1: Trust and Stakeholder Obligations
- Lesson 2: Ethics and Standards of Professional Conduct
- Lesson 3: Benefits of Ethical Conduct and Consequences of Unethical Conduct
- Lesson 4: Ethical Decision-Making Framework



#### Certificate

Receive a shareable certificate and digital badge upon finishing all courses and passing the final assessment.



12-month access to learning materials



#### Study time

40-70 hours to complete



#### Online self-paced

Everything can be completed online at your own pace.



#### Who should enroll

Ideal for those aspiring to – or currently working within – support roles across the investment and finance industries.