TAT2 Task 2: Modified Plan of Instruction

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TAT2 Task 2: Modified Plan of Instruction

The modified plan of instruction, designed to addresses inadequacies discovered in technology training resources and deficiencies in industry knowledge specific to the financial services training staff. Theses shortfalls hindered by dated learning assets and limited; formal training solutions proved to be detrimental to the firm. Performance objective one, two and three are incorporated into the customized learning path to resolve inadequacies discovered in technology training resources and staff preparedness in using those resources. Enhancement in learning and teaching resources, for instructors, will strengthen and support knowledge transfer to meet the company developmental goals. The direct a result of scheduling time constraints, the availability of learning assets and geographically distributed office locations each lesson in the curriculum is designed and facilitated in concert given the required time of twenty-five needed hours to complete the curriculum as described. The following resources are applicable: Instructor lead training sessions on site (training lab) and via conference-web meeting platform, hands-on in-service training, at the availability of instructor-SME in designated training areas, recorded video streaming and proprietary system simulation.

Audience

The intended audience is primarily industry colleagues and interns new to the financial services industry and corporate training development arena — the team dynamics' equally dispersed in the United States, Europe, and Asia. Their prior knowledge and skill specific to the technology products incorporated into the learning path are rudimentary at best. The median age of the team is thirty-five years old, and the oldest members' of the group approximately fifty-five years of age. The audience, as noted consisted of various age grouping of equally talented educators, credentialed intermediate subject matter expertise. However; they lack the necessary skill sets of a technology-driven firm and that of a corporate financial services trainer.

The modified learning plan, which incorporates the use of new learning technology products serves to connect cross-border, learners and fortify industry knowledge.

Challenges or Limitations

Given the firm's global footprint there are unique considerations and or challenges anticipated in preparing cross broader learning environments and utilizing necessary resources. As previously mentioned, team dynamics' include dispersed office locations in the United States, Europe, and Asia. Respective differences in learning styles and language are also worth mentioning. Anticipated challenges include the ability of the facilitator to review and prepare learning resources and the learning environments. It is vital to the success of DTCC's program to know the technology, media, and materials before teaching with them. Also important, the facilitator must have the opportunity to practice using the technology, media, and documents before the lesson(s). Finally equally relevant, the facilitator must be in a position to either prepare the learning environment and resources or coordinate the readiness of the same. Arranging the facilities and training delivery tools, e.g., Adobe Connect, Skype for online meetings and training the lab(s) interactive whiteboards are crucial for the effective use of the technology, media, and materials. Finally, concerning the challenges or limitations specific to the development of (learning) products, there is little evidence of constraints. However; the challenge, the instructor must be well versed in each of the selected technologies. The products developed were derived from existing resources customized for the learners of this program. For example, the inventory of powerpoint presentations, test environment simulation, and learning videos were updated to include the lasted branding and information relevant to lesson topics. Finally, concerning the technological products incorporated into the modified plan of instruction such as Adobe Connect, Skype for online meeting and

DTCCa 's learning portal mentioned, supported by the external and in-house support staff and tutorials for the instructor on how to use the technology.

Modified Plan of Instruction Detail

Upon completing the appropriateness of technologies analysis, three new technologies are used to fortify learning resources and skill sets for instructors and are introduced in the amended plan of instruction. When dealing with geographically disburses and culturally diverse teams, the use of technologies that support web-conferencing, video and simulation assets and tutorials are the most efficient ways of integrating education. The modified plan of instruction is made using the noted features in **lessons One, Two and Three**. Explicitly using the features in Adobe Connect, Adobe Connect, a presentation software to create information on web conferencing, learning modules, and user desktop sharing. It gives total control enabling one to develop skills that include branding and content development. It is a teaching and a learning tool that is fast, efficient. The second resource introduced SMART Notebook; Smart notebook, a program used in an interactive presentation. Its use requires one to have a smart board to provide multiple ways to enhance presenting lessons. Interaction easy and flexible. Finally, the modification is made to the noted lessons using features of Camtasia. Camtasia is a software program for creating video tutorials and presentation right through a screencast. Software functionality gives a person a chance to record, edit, and share videos on different platforms with essential skills for a given project. The **original plan of instruction includes** the following lesson:

Lesson 4 Overview

This instructional lesson is an extensive 6-hour lesson that highlights the evolutions of the financial services industry each experience, designed into 1 hour and 30 minutes segments. The attendees will gather into break-out groups with four individuals assigned to each group.

Lesson 5 Overview

This instructional lesson, An Overview of "Securities Processing" Procedures, will provide an instructor in training with the tools and knowledge required to ensure future staff in preparation is well prepared to perform daily responsibilities.

Lesson 6 Overview

This instructional lesson will review the DTCC's trade processing System usage and basic navigation. The Overview lesson is specifically designed to eliminate the limitation of subject matter expertize. Moreover, the instructors in training will gain a thorough understanding of enhancements to securities processing system navigation and functionality. The DTCC System Navigation overview is intended to eliminate functional processing risks.

Performance Objectives

Performance Objective 1: Given a company resource (laptop-desktop) with intranet access, the instructor will demonstrate the path to and or access to the DTCC-Learning Portal and enroll in recommended courses of study. The **conditions** of the objective, upon completing one hour of practice accessing, navigating and registering for the various electronic courses within the learning portal the instructor, while being observed will demonstrate the acquired skill to respective peers. Doing so will remove ambiguity and support cross-training initiatives.

Noted **criteria**, the instructors may be required to access and complete the course registration process within 10 minutes with 90% accuracy. This activity is intended to ensure a higher **standard** of performance requirements, collaboration, and mutual understanding.

Performance Objective 2: Given a company device with intranet access to Smart Notebook learning software, the web-based collaborative platform of choice, and the trade processing site the instructor will demonstrate the required procedure to use the application to share resources. After that navigate to the Trade processing UAT site to gain comfort in basic functionality. The **conditions** of the objective, upon completing two hours of practice accessing and browsing various application functions within the user test region the instructor, while being observed will demonstrate the acquired skill to respective peers. Doing so will provide clarity of system functionality and support cross-training initiatives. In this instance the **criteria**, the instructors will require the access and complete the five processing functions within 30 minutes with 100% accuracy. Anticipating, this will ensure a higher **standard** of performance requirements.

Performance Objective 3: Given – access credentials to the designated lab area the instructor will explore learning resources and demonstrate their ability to use the lab facility effectively the **conditions**, following regularly scheduled system updates while being observed. The instructors will be required the access, discover learning resources and flush out on their ability to use the lab facility effectively while being observed by respective department heads. Anticipating, this will ensure a higher **standard** of performance requirements, collaboration, and mutual understanding.

Performance Objective 4: Given source documents on the effective use of technology in a securities processing environment, the instructor will work together to develop a working definition of the operational use of technology specific to trade management and securities processing at the firm (utilizing Smart Notebook-the collaborative learning software).

The **condition**, the instructor must be assigned approval and document authoring rights. The

criteria, Enhancements to source documentation must be expeditious without error utilizing

standard technical writing procedures. The activity will ensure a higher **standard** of performance

requirements, collaboration, and mutual understanding, As such, will provide higher performance

requirements.

> **Performance Objective 5:** Given instruction and access to the company intranet

environment, the in-house learning center, the core development portal and the Cornerstone

learning portal instructors will demonstrate user ability to access resources within the user test

environment that aligns well with the objectives. The **condition** of the goal, upon completing one

hour of practice accessing and navigating multiple systems and learning assets within the

Learning portal the instructor while being observed will demonstrate the acquired skill to access,

retrieve and disseminate learning resources to respective peers.

Doing so will provide clarity of system functionality and support cross-training initiatives. The

noted **criteria**, within a predetermined time, the instructor must navigate the various applications

and disseminate learning resources within a thirty-minute window, with one hundred percent

accuracy.

> **Performance Objective 6**

> Given the instructors (in training) limited subject matter expertise of trade processing system

usage and basic navigation, the performance objective, instructors must develop a thorough

understanding of the enhancements to securities processing system navigation and functionality.

The condition under which learning will occur will include a series of Instructor-led knowledge

sharing sessions coupled with hands-on system scenario-based exercises within the user acceptance

test environment. The criteria, the learner, must perform the following actions: submit bond trades,

resolve trade differences and retrieve daily reports

The learner must navigate the trade processing functionality within a trade processing production environment with 100% accuracy. Acceptable trading system navigation requires predetermined time constraints to eliminate functional processing risks.

- Review the benefits of the processing system

- Navigate to various functions

- Access the relevant statistical reports

- Identify primary default correction responses

Instructional Strategies

The learning strategies for this unit, based on Robert Gagne's conditions of learning. As suggested, the theory stipulates that there are different levels of knowledge. The cognitive strategies approach provided an ideal fit used in this and the corresponding lesson plans. Utilizing the overall strengths of Gagne's instructional events. During the initial presentation step by step information, the sharing-learning process takes place, with objective results defined. The primary emphasis on DTCC learning's team is to facilitate training to globally dispersed teams. As such the appropriate technology which would support a global delivery platform and a means to create added learning resources is a necessity.

Materials and Resources

The material provided for the curriculum and subsequent lessons will include a collective assortment of electronic resources, interactive presentation and written exercise materials provided by the facilitator.

Given the firm's global footprint, the audience dynamics' is dispersed in the United States, Europe, and Asia. As such, Instructor-led training labs and video conferencing resources, both dedicated conference room space, desk and laptops resources and highlighted

Software technologies are a necessity. Access to recorded lessons must be made available.

<div align="center">Instructional Sequence</div>

<div align="center">DTCC Learning Center</div>

Lesson Overview

DTCC: The curriculum and subsequent instructional unit are designed to address inadequacies discovered in instructors' limited use of technology, training resources and industry knowledge specific to the financial services staff. Theses shortfalls hindered by dated learning assets and limited; formal training solutions proved to be detrimental to the firm. The implementation of new technology in learning and teaching resources, for instructors, will strengthen and support knowledge transfer to meet the company developmental goals. The initial lesson will close the gap between the instructor's ability to utilize new technology and training resources while incorporating this heightened awareness into customized learning solution in the future.

Resources Required

   The resource requirement for the specific lesson includes a desktop computer or an assigned lap-top resource retrieved from the technology department, webinar delivery platforms such as Web X or Go-to meeting, additionally, access to staff developmental learning center and Tec lab:

➢ Adobe Web X or SKYPE meeting connectivity

➢ Video Conference room – Internet-connect device, Thin client

➢ Access to DTCC learning center portal

Performance Objective 1

Given a company resources with intranet access, the instructor will demonstrate their ability navigate to the DTCC-Learning Portal and enroll in recommended courses of study and self-paced learning resources.

The conditions of the objective, upon completing the required 1.5 hours of ILT preceded by 2 hours of practice accessing, navigating and registering for the various electronic courses within the learning portal the instructor, while being observed will demonstrate the acquired skill to respective peers. Doing so will remove ambiguity and support cross-training initiatives. Noted criteria, the instructors may be required to access and complete the course registration process within 10 minutes with 90% accuracy.

Time: 3.5 hours

1.5 hours of instructor-led the presentation, preceded by 2. Hours of practice accessing, navigating and registering for the various electronic course are within the learning portal the instructor while being observed will demonstrate the acquired skill to respective peers.

Step 1: Pre-Instructional Exercise

▪ The class facilitator will begin with a question. Where will your (fellow instructors) go to learn about the prescribed resources-applications on the training lab and or conference room desktop computers?

- The class facilitator will steer discussion on the reasons individuals need to be familiar with the prescribed resources and the steps necessary in developing new user skills about identified resources. The instructor will immediately transition to a presentation on the DTCC learning and the cornerstone employee development portals.

Step 2: Content Presentation

The lesson of instruction will be ILT in a web-delivered platform and training lab environment. The focus, practice accessing, navigating and registering for the various electronic courses for the convenience of the globally dispersed team members, self-paced power point digital resource will be available. The instructor will use both PowerPoint and system simulation to stimulate conversation. The use of simulation will enable instructors' opportunity to demonstrate access to the respective resources.

Step 3: Learner Participation Activity

During the presentation, instructors will engage attendees; require a reciprocal response to questions. Doing so will ensure attendees understand highlighted processes.

The instructors (course attendees) will access the learning portals from their devices and review the learning catalog of resources available on the learning portals(s) and register for the four self-paced courses identified as required. After which, they will complete a minimum of two sessions.

Finally (Instructors) attendees will provide a critique of material reviewed on the assigned Smart-Notebook site or the micro-soft team's site for learning instructors. (Provided instructions to access)

Step 4: Assessment Requirement

A survey and or graded assessment is not required for this particular lesson. However; peer to peer engagement-discussion is not only desired but required, this activity will be utilized as a measure of attendee (learning instructors) participation.

Step 5: Follow-Through Activities

- Instructors must complete a lesson evaluation. (Appendix A)

- Access and review the assigned Smart-Notebook site, the Micro-Soft teams site for learning Instructors and post a review and highlight relevant discussion topics of the course.

- Requirement: Instructors will configure their laptop, desktop, and mobile devices to access the DTCC learning portal(s) as per the instructions indicated on the portal.

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SMART Notebook Point 17.1

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Lesson 2 Overview

One of the performance concerns identified in the instructional analysis included inadequacies discovered in technology training resources which include the trade processing site, as noted SMART Note is the selected as a tool to utilize. This lesson will introduce instructors to the SMART Note and trade processing training site located on DTCC 's learning portal, accessible on the intranet that allows them to share files, ideas, and other resources.

Resources Needed

- Video conference room and training lab(s) with presentation resources.

- PowerPoint Presentation: SMART Note 17.1 Point tutorial.pptx

- Digital user guide and FAQ resource SMART Note 17.1 doc.

▪ Access to DTCC 's Learning Portal,

Performance Objective 2

Given a DTCC company device with intranet access to Smart Notebook learning software, the web-based collaborative platform of choice, and the trade processing site the instructor will demonstrate the required procedure to use the applications to share resources. Users must also prove the navigation path to the trade processing UAT site to gain comfort in basic functionality.

Time: 1.5 hours

Step 1: Pre-Instructional Activity

Instructors in training must ensure their access to the respective applications. The instructor will lead a conversation about what attendees (instructors in training) understanding of the SMART Note Application. SME 's typically see this application as a resource which combines Notebook

With assessment, student collaboration, and game-based learning software, to create enriching learning experiences.

Step 2: Content Presentation

The instruction will steer conversation by utilizing the slides from the "SMART Note 17.1 Tutorial" Presenting via video conferencing – webinar and using the Microsoft Skype tool as an alternative delivery tool. The instructor will encourage a collaborative exchange of questions and answers.

Step 3: Attendee Participation

The instructor will encourage a collaborative exchange of questions and answers throughout the session as they advance through the presentation.

Attendees (instructors in training) will be asked to return to their respective training labs, navigate to SMART Note located on the staff development learning center and perform the following tasks within a week:

- Access Mydtcc.vdi to initialize the workspace if not accomplished previously.

- Access the SMART Note 17.1 Tutorial review and down located on the instructor's course instructors site) for step by step direction while setting up your site.

- Upload the series of the suggested document including the FAQ file and photos to the files section.

- Advise individuals that these tasks have been completed and provide a link to one of your uploaded items.

Step 4: Assessment

Assessment will consist of the attendee (instructors in training) accessing and reviewing the instructors' SMART Notes 17.1 site to confirm that required content exist, correctly initialized and required content added.

- The colleague's list (instructors in training) is complete.
- There should be at least five documents in the files section.

Step 5: Attendee Evaluation - Follow-up

- Attendee (instructors in training) will be asked to complete a course evaluation. (Appendix A)

- Visit the https://www.dtcclearning.com/ | New technology e-learning discussion on SMART Note 17.1 site and post your review or short analysis of the course. (What is the added value to the SME instructors taking this course?)

DTCC's Learning Center

Learning Events and the Knowledge Database

Lesson 3 Overview

The DTCC core learning center is one of the primary resources used to house documents, simulations, PowerPoint presentations and a host of valuable learning assets. Also worth mentioning the availability of interactive exercises created by the curriculum for the training events, instructors must be mindful to leverage the interactive aspects of the web delivery usage of whiteboards in training labs. In this lesson, instructors in training will instruct how to access e-learning resources via the intranet and display respective content on whiteboards used in the training labs to learn how to use technology and tools effectively.

Resources Needed

- Access to dtcc.learning- HR Professional Development website at http://www.dtcc.learning.com/Resources/Training. (password required)

- A training, Lan assigned laptop and connected SMART Note.17.1 resource and document video.

- Access to the SMART Notes training and professional development - SMART Note 17.1 learning technologies folder located in the staff development Tec resource team folder on the Q: drive and S: drive http://www.dtcc.com/settlement-and-asset-services/securities-processing (password required)

Performance Objective 3

Attendees are given – access credentials to the designated lab area the instructor will explore learning resources and demonstrate their ability to use the lab facility effectively the **conditions**, following regularly scheduled system updates while being observed. An added **criteria**, the instructors, will be required the access, explore learning resources and reflect on their ability to use the lab facility effectively while being observed by respective department heads. The activity will ensure a higher **standard** of performance requirements, collaboration, and mutual understanding.

Time: 2 hour

Step 1: Pre-Instructional Activity

- Before attending this session, the instructor is required to access the LC website and register with their Lan e-mail address as a user. They must locate the learning resources on that site for self-paced study.

- Instructors must complete a pre-assessment (Appendix B) at the beginning of the class and engage in (instructors in training) the plane Q and A session.

Step 2: Content Presentation

The instructor will begin with a detailed discussion of "What's new in SMART Notebook 17.1 specifically the original print to board feature in SMART Notebook, the SMART lab tutorial and redo actions.

Resources located on the Smart LC website can be used to learn how to navigate relevant learning resources, equipment and find activities they can use during training sessions.

The first resource the instructor will review the smart notebook document writer print to board feature user guides in our DTCC Tec response shared folder. These documents review the basics of how to utilize Smart Note feature,   how to convert documents into an older printable notebook file, how to create activities, and how to share them with others. Instructors will be   encouraged to explore these resources before seeking other learning resources.

The second resource, Smart Notebook .17, accessible via the instructor's professional development site which provides references, simulations, tutorials and videos on how to use the lab whiteboard, Smart Notebook, and document resources. The instructor must look at specifics within Smart Notebook sections to familiarize the (instructors in training) with

The format of this resource. Learning this resource is considered detailed and more time-consuming to come to understand. However; extremely relevant learners are encouraged for those who want to know much more and create more professional materials to share. The third resource presented to the instructors in training is the SMART Note skills toolkit which provides tutorials on how to use SMART products while instructing in training labs.

- Interactive video - Activity setup

- Interactive video – web delivery: connecting course participants

- Interactive video – Offline activity

- Interactive video – Assessment creation

- Interactive video – Collaborative engagement, brainstorming

Step 3: Attendee Participation

The learning path will focus on the shared review of the available resources. Instructors in training must come prepared to discuss how they already use SMART tools and or equipment And should be prepared to identify specific needs in using the same.

They must carve out additional time after the lesson, dedicated to exploring the various resources presented.

Step 4: Assessment

Given that this lesson focuses on increasing the instructors in training' understanding of the relevant tools, SMART Note skills toolkit, the assessment will consist of the attendee accessing and reviewing the highlighted resources within the DTCC learning center, create summary commentary and post to the designated knowledge database designed for the individual lesson. Access the dtcc.learning- HR Professional Development website at http://www.dtcc.learning.com/Resources/Training.

Step 5: Follow-Through Activities

- Instructors in training are required to complete the lesson evaluation (Appendix A)

- Instructors in training are required to experiment with highlighted resources, create activities of their own, and share them with colleagues

- Instructors in training are required to demonstrate- how to - better navigate the new technology resources effectively, while being observed by respective department heads, locate lessons, and or modify those lessons based on audience requirements, disseminate newly created links to instructors in training. Ultimately posting summary comments to the learning-Development knowledge database.

Lesson 4 Overview

This instructional lesson is an extensive 6-hour lesson that highlights the evolutions of the financial services industry each experience, designed into 1 hour and 30 minutes segments. The attendees will gather into break-out groups with four individuals assigned to each group.

Resources Needed

- Training Lab with presentation resources.
- PowerPoint Presentation: An Introduction to Financial Markets- Paolo Brandimarte.
- Online learning resources (http://www.dtcc.learning.com/Resources/Training)
- Quick tip reference guides

Performance Objective 4

Up completing the "Expand industry knowledge" review, attendee knowledge sharing will begin. The condition, attendees must be given access to each resource identified. Instructors in training will describe the events that have impacted the high points in the industry's growth and their understanding of the information necessary to perform day to day securities processing responsibilities. Individuals (instructors in training) will present an assessment in the form of a summary statement at the conclusion of the group discussion and presented material. Attendees will are positioned to explain, interpret and apply aspects of the financial services industry as related to their responsibilities. Doing so will ensure a higher standard of performance requirements, collaboration, and mutual understanding.

Time: Four - 1.5 hours - Lessons Summary by Topic Segment

Lesson: The Birth of (Wall Street) financial services Industry: Securities Industry

Segment 1 Topic:

1.1 What is the relevance of the date, 1792 in Securities Industry?

1.2 Common ATC Terminology and Key Players

Segment 2 Topics:

1.3 How did the financial Crisis impact trading practices?

1.4 Describe the life cycle of a trade.

Segment 3 Topics:

1.5 Describe the concept of multilateral netting.

1.6 Describe financial settlement best practices.

Segment 4 Topics:

1.7 Identify the risk associated to fail position tracking.

1.8 What are the components of securities issuance process?

Step 1: Pre-Instructional Activity

The instructor will guide the conversation about what the instructors in training already know about the U.S.Financial Markets and its evolution.

Step 2: Content Presentation

The instructor will guide lecture discussion using the slide presentation of "Evolution of U.S. Financial Markets authored by, Paolo Brandimarte.

The presentation facilitated within designation training labs on Smart Board devices, and for globally disbursed staff, the power point presentation displayed, via presentation monitor.

Step 3: Learner Participation

Learners will engage and compare industry experience based on their length of service and processing systems utilized over specified years of service.

Step 4: Assessment: Formative written summary statement- an essay which demonstrates mastery of lesson competencies combined with 10 question knowledge break-out-discussion.

Step 5: Follow-Through Activities learners will differentiate the characteristics of financial investment products, events and the relationship to services provided by the firm. Each attendee will be divided into break-out groups and respond during "open-question forum." Instructors must complete a lesson evaluation. (Appendix A)

The Effective Use of Technology

Lesson 5 Overview

This instructional lesson, An Overview of "Securities Processing" Procedures, will provide an instructor in training with the tools and knowledge required to ensure future staff in preparation is well prepared to perform daily responsibilities.

Resources Needed:

- Training Lab with presentation resources.
- Online learning resources (http://www.dtcc.learning.com/Resources/Training)
- Application user manuals
- Quick tip reference guides
- Procedural simulations

Electronic Trade Processing and System Navigation

Performance Objective 5

Given instruction and access to the company intranet environment, the in-house learning center, the core development portal and the Cornerstone learning portal instructors will demonstrate user ability to access resources within the user test environment that aligns well with the objectives. Upon completing one hour of practice accessing and navigating multiple systems and learning assets within the learning portal the instructor while being observed will demonstrate the acquired skill to access, retrieve and disseminate learning resources to respective peers.

As previously noted within a predetermined time, the instructor must navigate the various applications and distribute learning resources within a thirty-minute window, with one hundred percent accuracy.

Time: 4 - 1 hour - Lessons Summary by Topic Segment

An Overview of "Securities Processing" Procedures

Segment 1 Topic:

2.1 What is the relevance augmented volatility multiplier?

2.2 Common ATC Terminology and Key Players

Segment 2 Topics:

2.3 Identify model risk- collateral requirements

2.4 Describe market risk -margin of trades.

Segment 3 Topics:

2.5 Describe the concept of multilateral netting.

2.6 Describe securities money settlement best practices.

Segment 4 Topics:

2.7 Identify the risk associated to fail position tracking (systemic).

2.8 Key risks and mitigating controls

Step 1: Pre-Instructional Activity

The instructor will initiate a conversation to determine the instructors in training level of knowledge about Securities Processing" Procedures and respective processing systems.

Step 2: Content Presentation

The instructor will guide discussion reviewing Securities Processing" Procedures. The presentation facilitated within designation training labs on Smart Board devices and for globally disbursed staff. The lesson will include, pre-recorded simulations via a presentation monitor and hands-on demonstration within the securities processing test environment.

Step 3: Learner Participation

Learners will engage and experience based on their length of service and processing systems utilized over specified years of service.

Step 4: Assessment: A written summary statement which demonstrates mastery of lesson competencies combined with 15 question knowledge assessment.

Step 5: Follow-Through Activities

Each attendee will be divided into break-out groups and respond during "open-question forum." Learners will describe core services and functions, identify securities eligible for comparison and netting, explain the netting and settlement process define and describe trade comparison and highlight risk management practices. Instructors must complete a lesson evaluation. (Appendix A)

Lesson 6 Overview

This instructional lesson will review the DTCC's trade processing System usage and basic navigation. The Overview lesson is specifically designed to eliminate the limitation of subject matter expertize. Moreover, the instructors in training will gain a thorough understanding of enhancements to securities processing system navigation and functionality. The DTCC System Navigation overview is intended to eliminate functional processing risks.

Resources Needed

- Training Lab with presentation resources.

- Online learning resources (http://www.dtcc.learning.com/Resources/Training)

- User manuals

- Reference guides

- Procedural simulations

Performance Objective 6

The underlying performance objectives as initially stated, eliminate the limitation of subject matter expertise. Given the instructors (in training) limited subject matter expertise of trade processing system usage and basic navigation, the performance objective, instructors must develop a thorough understanding of the enhancements to securities processing system navigation and functionality. The condition under which learning will occur will include a series of Instructor-led knowledge sharing sessions coupled with hands-on system scenario-based exercises within the user acceptance test environment.

The criteria, the learner, must perform the following actions, submit bond trades, resolve trade differences and retrieve daily reports. Navigation of the trade processing functionality within a trade processing production environment with 100% accuracy. The presentation and scenario-based system navigation overview, intended to eliminate functional processing risks.

- Review the benefits of the processing system

- Navigate to various functions

- Access the relevant statistical reports

- Identify primary default correction responses

Time: 3 hours.

Step 1: Pre-Instructional Activities

Instructors in training must review the functional specification documents and assigned system guide provided by the lesson facilitator. Attendees must ensure user access to the test environment, using the guideline provided.

Step 2: Content Presentation

The instructor will guide the discussion by reviewing the securities processing application. Also facilitated within designation training labs.

 On Smart Board devices and for globally disbursed staff. The presentation will include, pre-recorded simulations shared via a presentation monitor and hands-on demonstration within the securities processing test environment.

Step 3: Attendee Participation

One year of experience using securities processing/trade system. During the oral presentation, the instructor must ask pointed questions to confirm attendees understand the following and can identify types of "trade" or "transactions," reported under the trade reporting rules. Identify "time of execution" for purposes of the trade reporting rules. Identify a stop stock" transaction.

Step 4: Assessment

Instructors (in training) will complete a summary statement- an essay which demonstrates mastery of lesson competencies combined with 10 question knowledge break-out session discussion graded required for this lesson will not be applicable.

Step 5: Follow-Through Activities

Instructors in training will participate in observable hands-on exercises' within the system test environment.

Lesson 6: Trade Processing System Navigation Overview

3.1 Navigate real-time query system using DTCC navigation

3.2 Access the main menu for the application page access defaults

3.3 Trade Management view the overall position monitor and search requirements

3.4 Shows active trades and activity as it occurs during the business day

3.5 Describe user to a dealer query results screen that lists associated trades.

3.6 Demonstrate trades submitted on behalf of the participant.

3.7 Identify the risk associated to fail position tracking (systemic).

3.8 Demonstrate vital risks and mitigating controls.

Electronic Reference Tools

Each aspect of the curriculum and lessons utilizes electronic reference tools such as simulations, articles and online experiences' on the DTCC learning center. The instruction and lesson application samples housed within the user acceptance test region (UAT), sample videos and documents on Ed development site, and the FAQ documents and online standard procedures tool used in the prerecorded technology navigation webinars. The noted resources, considered the usual practice to enable the instructor's ability to access these materials at any time on the intranet and not to re-create the wheel if suitable materials already existed. Also encourages instructors to become a creative researcher and innovative with these tools and resources ultimately integrating into their training classes.

Technology-Driven Assessment Tools

DTCC's first technology-driven assessment tool, Joomla and Survey Monkey will display findings on the company's learning center and dedicated SharePoint location, viewable as documents, simulation and or recorded video. DTCC's in-house developed assessment tool is a program that makes refined, comprehensive, and modified response with audience engagements. Additionally, Assessments are balanced scores and ratings are measured at the question, subsection, section and assessment level, as well as unlimited cross assessment segmentations. All of which is generated from the curriculum lessons. At the conclusion of the initial three and the second sequence of three lessons in the curriculum, a discussion group will create this section gives the grader information about where you could use electronic assessment tools in your unit.

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Behaviorism, Cognitivism, Constructivism: Comparing Critical Features from an Instructional

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Association for Supervision & Curriculum Development. Baleni, Z. G. (2015). Online formative

assessment in higher education: Its pros and

The library of quick tutorials on how to use SMART products retrieved from:

https://support.smarttech.com/docs/software/notebook/notebook-17/en/training/default.cshtml

https://my.wgu.edu/group/wgu-student-v3/cos?courseVersionId=2320120&topic=66047

TAT2 Task 1: Integration Design: **Submitted Spetember 25, 2018**

JPT2_FINAL_4.19.2018_ **: Submitted April 19, 2018**

Appendix A

Lesson Evaluation

Your Name: lesson   Name: ____

Date: __/___/_____Instructor's Name: _____

(1) **Strongly Agree   Agree Disagree   Strongly Disagree   Not Applicable If answered Disagree, Strongly Disagree, or Not Applicable; please explain why:**

The exercises, examples, and simulations in this course were realistic and applicable to the individual job.

(2) **Strongly Agree   Agree Disagree   Strongly Disagree   Not Applicable If answered   Disagree, Strongly Disagree, or Not Applicable; please explain why:**

The individual will apply new knowledge and skills learned from this training to the individual job.

(3) Strongly Agree   Agree Disagree   Strongly Disagree   Not Applicable

If answered Disagree, Strongly Disagree, or Not Applicable; please explain why:

The presenter/trainer was able to communicate program content and lead discussions engagingly.

(4) Strongly Agree   Agree Disagree   Strongly Disagree If answered Disagree or Strongly Disagree, please explain why:

How would you rate the overall program?

(5) Highly Satisfied   Satisfied   Dissatisfied   Highly Dissatisfied

If answered Disagree or Strongly Disagree, please explain why:

END OF EVALUATION

Appendix B

Appendix B - Assessment Lesson 5   Title: Securities Trade Processing Overview

Question 1:

For GGCF, a dealer is either a _____ or a _____ at the GF Generic CUSIP level.

    A. Net securities borrower (cash lender) or a net securities lender (cash borrower)

    B. A net broker or a net banker

    C. Net cash borrower (securities borrower) or a net cash lender (securities lender)

    D. Member or a Non-Member

Question 2:

Fill in the blank field below with the correct word that best completes the sentence.

The value of the GCCF changes daily based on the System Repo Rate and the _____ to Date.

Question 3:

The below statement is true or false.

Comparison only Member trades that are submitted compared and eligible for netting then aggregated and matched on a multilateral basis on the day of settlement.

True --------------- False-----------------------

Question 4:

Select best answers.

During the RTTMT Trade Submission process flow, what is the trade status of the message sent by TMM to the Inter-Dealer Broker, after the Inter-Dealer Broker submits a locked-in trade?

    A. Comparison Pending

    B. Affirmed

C. Pending Affirmation

D. Pending Cancel

Question 5:

Fill in the blank field below with the correct word that best completes the sentence.

For the Start of Day Funds Settlement cycle, Members' settling banks must acknowledge the credits and debits on their behalf by _____ in the morning.

Question 6:

The statement is true or false.

The interest accrued on a GCCF trade settled through the Intraday Funds-Only Settlement process.

TRUE_____ FALSE_____

Question 7:

The below statement is true or false.

Report Center is a centralized location within FICC RTTMÂ® Web that enables participants to access current and historical reports both intraday and end of the day, using a standard web browser.

TRUE _____ FALSE_____

Question 8:

The last day of the month is the 31st and that day falls on a Saturday, the invoice will be published to Report Center on the _____ even if that day falls on a weekend.

A. 30th

B. 15th

C. 31st

D. 10th

Question 9:

Choose the best answers the response.

Based on the reference slides showing each reports' display fields, which of the below descriptions correctly explains what the term Final Money means?

A. The close leg settlement amount, calculated by the system using the start amount, rate,

B. Start date and settlement date

C. The start leg settlement amount

Appendix C

Appendix C - Assessment Lesson 6 System Navigation Overview Course

Question 1:

TMC allows Members to perform trade entry, modifications, affirmations and cancellations, by using

Standard ISO Formats and 15022 SMART (MQ) messages.

TRUE _____   FALSE _____

Question 2:

If you have trouble logging into the PLBM Web application, you may contact _____ to

reset your password.

  A. TBAC Operations

  B. The CCCC Client Support Center

  C. The IT Department

  D. The Access Coordinator

  E. The CCCC Operator

 Question 3:

Which tab would be used to navigate in the main toolbar, to change the password or manage a user's

access?

  A. Trade Management

  B. Business Administration

  C. Site Administration

  D. Help

Question 4:

Any trade that archived in the GCF RTTMÂ Web application can be _____ by selecting the magnifying glass icon next to the trade.

    A. Modified

    B. Canceled

    C. Viewed

    D. Deleted

Question 5:

Trades in the Cancel Request (CPNR) or Pending Cancel (PNN) Trade State may be _____ by GOV Operations at the request of the GDB Member if a claim is submitted via email before that days' net.

    A. Un-canceled

    B. Deleted

    C. Archived

    D. Auto-affirmed

Question 6:

When entering a GFF Repo transaction into TTTP Web, individuals can enter trades against contra ID's who settle/clear through both JLL Securities and BNY.

TRUE _____   FALSE _____

Question 7:

Dealer Members execute CGCF through _____ who will submit trades on their behalf.

    A. Other Dealer Members

    B. Settling Banks

    C. Inter-Dealer Brokers

    D. JLCC Operations

Question 8:

Which trade state tab on the Overall Position Monitor screen displays trades for which a counterparty has processed an attempt to cancel action on an already affirmed trade, resulting in a cancel request made to, the dealer?

    A. Pending Affirm (PF)

    B. Pending Affirm (PA)

    C. Cancel Request (CR)

    D. Advisory (AD)

Question 9:

Subject: Trade State Types

The _____ trade state represents trades for which a counterparty has processed an attempt to cancel action on an already affirmed trade, resulting in a cancelation of the request to the viewing Member. The viewing Member can take effect the request to withdraw, thus thoroughly removing the deal from the net.

A. Canceled (CAN)

B. Pending Cancel (PCN)

C. Advisory (ADV)

D. Cancel Request (CNR)

Question 10:

What is the max par size a CBCF trade can be submitted for via Interactive Messaging (IM)?

A. 2,000,000,000

B. 9,999,999,999

C. 2,999,000,000

D. 9,999,000,000

Question 11:

The Comments section of the CCF Homesite in the CCGF Web application is used by JLC

Operations to post alerts or announcements informing Members quickly about issues during a

calendar day.

TRUE _____   FALSE _____

Question 12:

The Quick Links feature in the QCF Web application allows individuals to navigate to the Overall

Position Monitor and the Trade Entry screen.

TRUE _____   FALSE _____

END OF ASSESSMENT

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Appendix D

LESSON(S) RUBRIC

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Information Summary Rubric

Attributes	Above Standard	At Standard	Still a Goal	Attribute Points Earned
	(5-4.5)	**(4-3.5)**	**(3-0)**	
Model Synthesis	Analysts make meaning of the information and incorporate it into their own mental world model by generating example (created by the group).	Analysts make partial meaning of the information and incorporate it into their own mental world model by generating example.	Analysts make little or no meaning of the information and do not incorporate it into their own mental world model by generating example illustrations and/or diagrams (created by the group).	/5
	(10-9)	**(8.5-7)**	**(6.5-0)**	
Depth of Study	Gathered information includes the basics of the topic and an in-depth study of the topic.	Gathered information includes the basics of the topic and an in-depth study has begun.	Gathered information is incomplete and does not include the basics of the topic.	/10
	(5-4.5)	**(4-3.5)**	**(3-0)**	
Applicaton of Information	Gathered information enables the Analysts to define a topic to begin an ambitious self- study.	Gathered information enables Analysts to define a topic to begin group exercise.	Much research is needed before a topic can be defined and studied through class engagement.	/5
	(5-4.5)	**(4-3.5)**	**(3-0)**	
Diagrams	More than three diagrams (referenced if necessary) are included that aid in the communication of gathered information.	A minimum of three diagrams (referenced if necessary) are included that aid in the communication of gathered information.	Diagrams are missing or do not aid in communication of gathered information.	/5
	(5-4.5)	**(4-3.5)**	**(3-0)**	
Expert Connections	Analysts have defined high-level questions to submit for answers. Analysts have demonstrated the meaning of the material by correctly elaborating, extending and explaining the information incorporating it into their topic of SME.	Analysts have defined high-level questions to submit for answers. Students have demonstrated the meaning of the material by correctly incorporating it into their topic SME .	Analysts haven't made contact or have simply listed answers without incorporating the information into their topic of study.	/5
	(5-4.5)	**(4-3.5)**	**(3-0)**	
	Analysts have developed an accurate and extensive Industry Knowledge referenced throughout the literature.	Analysts have developed an accurate and extensive learning resources which includes: five electronic sources.	Analysts have an incomplete assessments scores , have not referenced sources.	/5

1/3

	(5-4.5)	**(4-3.5)**	**(3-0)**	
Expertise Challenges	Expertise challenges are complete with no errors and supporting work shown.	Expertise challenges are complete with few errors and supporting work shown.	Expertise challenges are complete with many errors and/or no or little supporting work is shown.	/5
Total Information Summary Points Earned				/40