CORPORATE ACTIONS FLOWS, RECONCILIATION AND EXCEPTION MANAGEMENT



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Introduction

Corporate Actions Flows, Reconciliation and Exception Management Training Course builds the operational capability that custody, asset servicing, and back-office teams need to process corporate events accurately and settle them on time. Corporate actions carry entitlement decisions, election deadlines, tax treatment, and payment obligations that depend on correct position data. Weak processing produces missed entitlements, late elections, cash and stock breaks, and client claims. This course develops the operational discipline that prevents those outcomes. It covers event types, announcement capture, and entitlement calculation. Furthermore, it applies reconciliation, break investigation, and exception workflow design. In addition, it develops controls, risk mitigation, and reporting. As a result, participants process corporate actions with accuracy and audit-ready evidence.

Corporate Actions Flows, Reconciliation and Exception Management Course Objectives

- Explain corporate action types and their processing characteristics.
- Apply the corporate action lifecycle from announcement to payment.
- Apply market deadlines, record dates, and ex-dates correctly.
- Calculate entitlements, ratios, and withholding tax treatment.
- Identify voluntary, mandatory, and mandatory-with-choice events.
- Apply reconciliation methods across positions, cash, and securities.
- Investigate breaks and manage exception workflows.
- Design controls for corporate action processing and reconciliation.
- Apply SWIFT messaging and ISO standards to event processing.
- Manage operational risk, client claims, and reporting.

Course Methodology

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- Interactive lectures with real corporate action and reconciliation cases.
- Entitlement calculation and event processing workshops.
- Reconciliation, break investigation, and exception drills.
- Messaging, controls, and reporting practice.
- Structured peer review with facilitator feedback on process design.

Who Should Take This Course

- Custody and asset servicing operations staff.
- Back-office and settlement operations professionals.
- Reconciliation and control analysts.
- Fund accounting and operations specialists.
- Internal auditors covering securities operations.
- Technology and process analysts supporting post-trade systems.

Corporate Actions Flows, Reconciliation and Exception Management Course Outlines

Day 1: Corporate Action Types and Event Characteristics

- Mandatory, voluntary, and mandatory-with-choice events.
- Cash dividends and interest payments processing.
- Stock dividends, bonus issues, and stock splits.
- Rights issues, takeovers, and mergers processing.
- Redemptions, conversions, and capital reorganisations.

- Proxy voting and shareholder meeting events.
- Case study: mapping a corporate action event to its processing steps.

Day 2: Announcement Capture, Entitlement, and Lifecycle

- Announcement sources and golden copy data management.
- Event validation and enrichment routines.
- Record date, ex-date, and pay date determination.
- Entitlement calculation with position reconciliation.
- Election capture, instruction handling, and deadlines.
- Tax treatment, withholding, and relief at source.
- Workshop: calculating entitlements and elections for multiple events.

Day 3: Reconciliation Fundamentals and Break Investigation

- Reconciliation types: position, cash, securities, and nostro.
- Data matching rules, tolerances, and ageing analysis.
- Break identification, classification, and root cause analysis.
- Internal versus external reconciliation differences.
- Suspense account management and clearing routines.
- Escalation paths and resolution timelines.
- Workshop: investigating and resolving a set of breaks.

Day 4: Exception Management and Workflow Design

- Exception definition, capture, and prioritisation.
- Exception workflow design and routing rules.
- Manual intervention controls and maker-checker discipline.
- Automation, straight-through processing, and exception queues.
- Client communication and instruction chasing routines.
- Documenting exceptions and audit trail standards.
- Workshop: designing an exception management workflow.

Day 5: Controls, Risk, and Operational Reporting

- Control design for corporate action processing.
- Key risk indicators and operational risk registers.
- SWIFT messages and ISO standards for event processing.
- Business continuity and peak volume handling.
- Client claims, compensation, and error correction.
- Management reporting, dashboards, and audit evidence.
- Course review, assessment, and action planning.

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Conclusion

By successfully completing Corporate Actions Flows, Reconciliation and Exception Management, participants will gain a thorough understanding of corporate action types, the event lifecycle from announcement to payment, entitlement calculation and tax treatment, reconciliation methods and break investigation, and exception management workflow design and operational controls. They will also acquire practical skills in corporate action lifecycle processing, entitlement calculation and tax treatment, reconciliation and break investigation, and exception management and operational control design. In addition, the course prepares them to process and reconcile corporate events with accuracy and defensible evidence. Gentex Training Center delivers this programme with a strong focus on applied securities operations practice and audit-ready processing files.

FAQs for Corporate Actions Flows, Reconciliation and Exception Management course

Q1 What is the "Corporate Actions Flows, Reconciliation and Exception Management" course about?

It is a five-day programme on processing corporate events and reconciling the resulting positions and cash. It covers event types, announcement capture and entitlement calculation, reconciliation and break investigation, exception workflow design, and operational controls and risk management.

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Q2 What are the key benefits of the "Corporate Actions Flows, Reconciliation and Exception Management" course?

Participants process corporate events with fewer missed entitlements and breaks. The course improves event validation and entitlement accuracy, sharpens reconciliation and break investigation, strengthens exception workflow design, improves tax and election handling, and raises control quality and audit readiness.

Q3 What skills will I gain from the "Corporate Actions Flows, Reconciliation and Exception Management" course?

Participants gain corporate action lifecycle processing, entitlement calculation and tax treatment, reconciliation and break investigation, and exception management and operational control design. These four skills cover the practical core of corporate actions and reconciliation work.

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Q4 What tools, methods, or standards are covered in the "Corporate Actions Flows, Reconciliation and Exception Management" course?

The course covers mandatory, voluntary and mandatory-with-choice event classification, cash dividend and interest processing, stock dividends, bonus issues and stock splits, rights issues, takeovers and mergers, redemptions and conversions, proxy voting, announcement sources and golden copy data management, event validation and enrichment, record date, ex-date and pay date determination, entitlement calculation and position reconciliation, election capture and instruction deadlines, withholding tax and relief at source, position, cash, securities and nostro reconciliation, data matching rules and tolerances, break classification and root cause analysis, suspense account management, escalation and resolution timelines, exception capture and prioritisation, exception workflow design and routing rules, maker-checker controls, straight-through processing, client instruction chasing, exception documentation and audit trail standards, corporate action control design, key risk indicators and operational risk registers, SWIFT messaging and ISO standards, business continuity and peak volume handling, client claims and error correction, and management reporting dashboards.

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Q5 How is the "Corporate Actions Flows, Reconciliation and Exception Management" course applied in real-world practice?

Participants apply the methods to real and simulated corporate events. They capture and validate announcements, determine record and pay dates, calculate entitlements, process elections and instructions, apply withholding tax, reconcile positions and cash, investigate and resolve breaks, manage exception queues, document decisions, apply maker-checker controls, and prepare management reporting with audit evidence. Many leave with an entitlement calculation template, a reconciliation and break log, and an exception workflow design ready to use.