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COURSE BROCHURE

# Treasury Dealer Mandates and Conduct Breach Oversight Training Course

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Registered in the United Kingdom and Saudi Arabia

# Treasury Dealer Mandates and Conduct Breach Oversight Training Course

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Treasury Dealer Mandates and Conduct Breach Oversight is a 1-week training course for treasury managers, dealers and treasury control staff who must turn dealing rules into enforceable limits and prompt breach handling, and it leaves each participant with a dealer mandate and breach escalation pack. Treasury desks now face closer scrutiny of trading conduct and faster markets. The course is delivered by Jupiter Prime Training.

## Why Treasury Dealer Mandates and Conduct Breach Oversight Matters Now

Three forces shape treasury conduct today. Electronic and voice dealing outpace manual checks, so a vague mandate is tested within minutes. Boards and treasury committees want evidence that limits are set, monitored and enforced, not merely written down. Supervisors and auditors expect breaches to be recorded, explained and reported on time. A desk that handles this well protects counterparties and earnings; one that handles it badly faces losses and disputes. The course rests on the separation of front, middle and back office duties and on a written code of dealing conduct.

## Who Gains Most from Treasury Dealer Mandates and Conduct Breach Oversight

- Dealers who quote, execute and book trades within an authorised mandate
- Treasury managers who allocate limits and sign off dealer authorities
- Middle office staff who monitor positions, limits and off-market prices
- Back office staff who confirm, settle and reconcile treasury deals
- Treasury control and compliance officers who investigate and report breaches

A treasury function sending a dealer, a middle office analyst and a settlements officer together gains most.

## Treasury Dealer Mandates and Conduct Breach Oversight Capabilities

Participants write limits a dealer can follow and a controller can check, then trace breaches to committee.

- Design dealer mandates with product, tenor, counterparty and size limits — treasury manager sign-off
- Assess dealing conduct against a written code and recorded conversations — compliance review
- Test front-to-back separation and confirmation matching for gaps — internal audit planning
- Classify limit and conduct breaches by severity and cause — escalation decisions
- Build breach logs and treasury committee packs that show trends — committee oversight
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Specify regulatory reporting steps for treasury incidents — the compliance officer and supervisor

## Key Treasury Dealer Mandates and Conduct Breach Oversight Terms

- Dealer mandate — a signed authority setting which products, tenors, counterparties and amounts a named dealer may trade.
- Limit breach — any trade or position that exceeds an approved limit, whether intended or accidental.
- Off-market price — a deal rate away from prevailing market rates without a recorded reason.
- Front-to-back separation — the split of dealing, monitoring, confirmation and settlement duties so no single person controls a trade end to end.
- Deal confirmation — the independent exchange of trade details with the counterparty to verify terms before settlement.
- Breach escalation — the defined route and timing by which a breach is reported, explained and decided upon.

## Treasury Dealer Mandates and Conduct Breach Oversight Day by Day

### Day 1: Treasury Policy and the Conduct Landscape

- Treasury Policy Hierarchy — Which Rules the Board Owns Versus the Desk
- Code of Dealing Conduct — Expected Behaviour With Counterparties and Brokers
- Conflicts on the Desk — Personal Dealing, Gifts and Order Priority
- Market Abuse Patterns — Spoofing, Front Running and Information Misuse
- Conduct Risk Map — Where Treasury Misconduct Is Most Likely

### Day 2: Writing and Allocating Dealer Mandates

- Mandate Templates — Product, Tenor, Counterparty and Size Limits per Dealer
- Limit Allocation Matrix — Sharing Desk Limits Across Dealers and Books
- Stop-Loss and Position Limits — When Dealers Must Cut Exposure
- Temporary Limit Excesses — Approval Rules for Exceptional Trades
- Annual Mandate Attestation — Dealer Sign-Off and Manager Review

### Day 3: Front-to-Back Controls and Confirmations

- Segregation of Dealing Duties — Front, Middle and Back Office Boundaries
- Confirmation Matching — Unmatched Deals, Disputes and Ageing Reports
- Rate Reasonableness Checks — Detecting Off-Market and Late-Booked Trades
- Voice and Chat Recording Review — Sampling Calls for Conduct Issues
- Settlement Instruction Controls — Standing Instructions and Payment Release

## Day 4: Breach Escalation, Committees and Reporting

- Breach Severity Scale — Separating Technical, Material and Deliberate Breaches
- Root Cause Interviews — Dealer, Supervisor and System Explanations
- Consequence Management — Warnings, Mandate Cuts and Disciplinary Referral
- Treasury Committee Reporting — Breach Trends, Limit Use and Open Actions
- Regulatory Incident Notification — Content, Timing and Sign-Off of Reports

## Day 5: Practising the Dealer Mandate and Breach Escalation Pack

- Mandate Redraft Exercise — Rewriting a Weak Dealer Authority
- Breach Case Simulation — Off-Market Trade From Detection to Decision
- Confirmation Gap Walkthrough — Testing a Desk's Control Chain
- Committee Pack Drafting — Presenting Breach Trends to Senior Oversight
- Dealer Mandate and Breach Escalation Pack — Final Assembly and Peer Challenge

## Applying Treasury Dealer Mandates and Conduct Breach Oversight After the Course

- Review every live dealer mandate against the limit allocation matrix and close gaps.
- Trial a breach log using the severity scale and present results to the treasury committee.

## Treasury Dealer Mandates and Conduct Breach Oversight Questions FAQ

### What is Treasury Dealer Mandates and Conduct Breach Oversight and why does it matter now?

It is the discipline of setting clear dealer authorities and handling breaches promptly. It matters now because faster dealing and closer board scrutiny expose weak limits quickly.

### Which roles gain most from Treasury Dealer Mandates and Conduct Breach Oversight?

Dealers, treasury managers, middle and back office staff and treasury control officers gain most. Each holds part of the chain from setting a limit to reporting a breach.

### How does Treasury Dealer Mandates and Conduct Breach Oversight differ from a treasury risk course?

This course works on conduct, authorities and breach handling rather than measuring market or liquidity risk. Here you decide who may take exposures and what happens when a limit is crossed.

### What do you bring back from Treasury Dealer Mandates and Conduct Breach Oversight?

You bring back a dealer mandate and breach escalation pack ready to adapt. It holds a mandate template, a severity scale, an escalation route and a committee report layout.

## Treasury Dealer Mandates and Conduct Breach Oversight: The Way Forward

The dealer mandate and breach escalation pack first informs which dealer authorities need redrafting before the next limit review. Treasury managers use it to sign off mandates, controllers to classify breaches and committee members to read trends. After first use, revisit whether the severity scale separates honest error from deliberate conduct.