



**Teaching and Examination Scheme:**

Teaching Scheme			Credits	Examination Marks				Total Marks
L	T	P		Theory Marks		Practical Marks		
				ESE (E)	PA (M)	ESE (V)	PA (I)	
3	-	-	3	50	-	-	-	50

L- Lectures; P- Practical; OJT- On Job Training; C- Credit; ESE- End Semester Examination; PA- Progressive Assessment

**Content:**

Sr. No.	Content	Hrs.
1	<b>Functions of Depository Participant - Dematerialization</b> : Introduction, The concept of International Securities Identification Number (ISIN) and its Importance, Dematerialisation process, Rematerialisation process	10
2	<b>Functions of Depository Participant - Trading and Settlement</b> : The role of depository participant in facilitating the transfer of securities from one account to another, Process flow of settlement of securities in an off-market transaction, Concepts and procedures related to settlement of securities	10
3	<b>Pledge and Hypothecation</b> : Concept of pledging and hypothecation of securities, Procedure for pledging and hypothecation of securities, Corporate Benefits for pledged/hypothecated securities	8
4	<b>Corporate Action</b> : The concept of corporate actions, Terminology related to corporate actions, Procedure for corporate actions with respect to the monetary and non-monetary benefits	8
5	<b>Public Issues</b> : Introduction, Public Issue Procedure	6
	<b>Total</b>	<b>42</b>

**Reference Books:**

- (1) Bharati V. Pathak, “ The Indian Financial System”, Pearson Education
- (2) Vasant Desai, “Financial Market and Financial Services”, Himalaya Publication House
- (3) M Y Khan & P K Jain, “Financial Management”, McGraw Hill Publications.

**Course Outcomes:**

After learning the course the students should be able to:

1. Understand important functions of Depository Participant
2. Know the concepts of Pledge, Hypothecation and Corporate action
3. Understand the procedure of public issue