

**Teaching and Examination Scheme:**

Teaching Scheme			Credits	Examination Marks				Total Marks
L	T	P		Theory Marks		Practical Marks		
			C	ESE (E)	PA (M)	ESE (V)	PA (I)	
3	-	0	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>Introduction to the Securities Market :</b> <ul style="list-style-type: none"> <li>Indian securities markets and its role in Indian economy</li> <li>Structure of Securities market</li> <li>Money market and its key features</li> <li>Products traded in the securities market</li> </ul>	10
2	<b>Market Participants in the Securities Market :</b> <ul style="list-style-type: none"> <li>Types of investors</li> <li>Issuers</li> <li>Intermediaries</li> <li>Other services provided by brokers (Portfolio management service &amp; Research Report)</li> </ul>	10
3	<b>Introduction to the Securities Broking Operations :</b> <ul style="list-style-type: none"> <li>Trade life cycle</li> <li>Front office operations &amp; Back-office operations of a stock broking firm</li> <li>Information technology and Business Continuity Plan of a stock broking firm</li> <li>Regulatory compliances</li> </ul>	12
4	<b>Clearing Process &amp; Settlement Process :</b> <ul style="list-style-type: none"> <li>Role of Clearing Corporation, Clearing Members and Custodians</li> <li>Role of Role of Depositories and Depository Participant</li> <li>Clearing Process</li> <li>Settlement cycle</li> <li>Settlement of funds &amp; securities</li> </ul>	10
<b>Total</b>		<b>42</b>

**Reference Books:**

- (1) "Securities Operations and Risk Management" by NISM
- (2) Bharati V. Pathak, "The Indian Financial System", Pearson Education

**Course Outcomes:**

After learning the course the students should be able to understand:

1. Know the basics of the Indian securities market.
2. Understand about market participants in the security market.
3. Understand about broking operation.
4. Know the concept of Clearing Process & Settlement Process.
5. Understand the services provided by broker.