

FINANCIAL MARKETS MANAGEMENT

CLASS–XII

CAPITAL MARKET OPERATIONS (793)

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THEORY

Time: 3 Hours

Marks: 60

Chapter-1: An Overview of the Indian Securities Market

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- 1.1 Market Segments.
- 1.2 Key Indicators Of Securities Market.
- 1.3 Products and Participants.
- 1.4 Market Segments and their Products.
- 1.5 Reforms in Indian Securities Markets.

Chapter-2: Trading Membership

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- 2.1 Stock Brokers.
- 2.2 NSE Membership.
- 2.3 Surrender of Trading Membership.
- 2.4 Suspension & Expulsion of Membership.
- 2.5 Declaration of Defaulter.
- 2.6 Authorised Persons.
- 2.7 Sub-Brokers.
- 2.8 Broker-Clients Relations.
- 2.9 Sub-Broker-Clients Relations.
- 2.10 Investor Service Cell And Arbitration.
- 2.11 Code of Advertisement.

Chapter-3: Trading

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- 3.1 Introduction.
- 3.2 Neat System.
- 3.3 Market Types.
- 3.4 Trading System Users Hierarchy.
- 3.5 Local Database.
- 3.6 Market Phases.
- 3.7 Logging On.
- 3.8 Log Off/Exit from the Application.
- 3.9 NEAT Screen.
- 3.10 Invoking an inquiry Screen.
- 3.11 Order Management.
- 3.12 Trade Management.
- 3.13 Auction.
- 3.14 Limited Physical Market.
- 3.15 Block Trading Session.
- 3.16 Retail Debt Market (RDM).
- 3.17 Trading Information downloaded to Members.

- 3.18 Internet Broking.
- 3.19 Co-location.
- 3.20 Wireless Application Protocol (WAP).

Chapter-4: Clearing, Settlement and Risk Management **10**

- 4.1 Introduction.
- 4.2 Key Terminologies used in Clearing and Settlement Process.
- 4.3 Transaction Cycle.
- 4.4 Settlement Agencies.
- 4.5 Clearing and Settlement Process.
- 4.6 Securities and Funds Settlement.
- 4.7 Shortages Handling.
- 4.8 Risks in Settlement.
- 4.9 Risk Management.
- 4.10 International Securities Identification Number.
- 4.11 Data and Report Downloads.

Chapter-5: Legal Framework **7**

- 5.1 SEBI (Intermediaries) Regulations, 2008.
- 5.2 SEBI (Prohibition of Insider Trading) Regulations, 1992.
- 5.3 SEBI (Prohibition of Fraudulent And Unfair Trade Practices Relating to Securities Market) Regulations, 2003.
- 5.4 The Depositories Act, 1996.
- 5.5 Indian Contract Act, 1872.
- 5.7 Income Tax Act, 1961.

Chapter-6: Fundamental Valuation Concepts **3**

- 6.1 Time value of Money.
- 6.2 Understanding Financial Statements.