



## Program Description Document

<b>Course Name</b>	<b>SECURITIES OPERATIONS AND RISK MANAGEMENT</b>
<b>Course Name as on Certificate</b>	<b>CERTIFICATE PROGRAMME IN SECURITIES OPERATIONS AND RISK MANAGEMENT</b>
<b>Certificate Type</b>	Certificate of Course Completion by IIT-MADRAS
<b>Certificate Issued by</b>	IIT MADRAS
<b>Course Objectives</b>	<ol style="list-style-type: none"> <li>1. To learn about the Functioning of Securities Market In India</li> <li>2. Know about the different Market Participants, Types of Instruments, Intermediaries and the role of SEBI as a regulator</li> <li>3. Understanding the process of Trade Life Cycle viz., Custodial Transaction execution, Order Management, Operations Management, Risk Disclosure &amp; Clearing and Settlement</li> <li>4. To know how the Risk Management Framework, encompassing Compliance and Regulatory Reporting works.</li> <li>5. Explaining the role of key Participants like the Clearing House, Clearing Banks, Custodians, Depositories &amp; Brokers</li> <li>6. Understanding the Settlement Process, Margin Payments and how Auction is carried out</li> <li>7. Learn about Investor Grievances, Arbitration &amp; Customer Protection Fund</li> <li>8. Services offered by Brokers</li> </ol>
<b>Eligibility</b>	<ul style="list-style-type: none"> <li>• A bachelor's degree from a recognised Indian university or Students pursuing Graduation</li> </ul>
<b>Pre Requisites</b>	Basic understanding on Indian Stock Market
<b>Target Segment</b>	<ul style="list-style-type: none"> <li>• Students who are keen to build a career in the domain of Securities or Risk Management operations</li> <li>• Students/Professionals who intend to work for a Clearing House, Depository, Financial Institution, Banks or a Broker</li> <li>• Executives who are part of BFSI and want to upgrade skill set for better career opportunities</li> <li>• Professionals in other Industries or domain whose work profile is directly or indirectly connected to Financial Services Industry</li> <li>• Individuals who are keen to know how Securities Market work so that it helps them in their investment journey</li> </ul>
<b>Course Content</b>	<b>See Enclosed Programme details – as Annexure 1</b>
<b>Pedagogy</b>	<ul style="list-style-type: none"> <li>• The Primary method of instruction will be through Online Video Classes.</li> <li>• Participants can access the courses via Desktop / Laptop / Smart phone.</li> <li>• The lectures and content are created by Financial Market Experts, Eminent Trainers &amp; Well known Academicians.</li> <li>• This programme is a Compilation of Video Lectures, Mock Tests, Quiz, Group Discussions and Case Studies.</li> </ul>
<b>Assessment</b>	The students can assess their learning by undertaking Mock Tests, Quiz and Case Studies.
<b>Programme Faculty</b>	Programme Faculty is Mrs. S. Supriha A Senior academician with more than 20 years of experience in Teaching
<b>Duration</b>	15 Hours of Theory and 2 hours of Case Study.
<b>Validity</b>	Students will have to complete the programme within 15 days after registering for the course



<b>Programme Highlights/USPs</b>	<b>On successful completion of the programme, you will have a good understanding of</b> <ul style="list-style-type: none"> <li>• The Basics of Securities Operations &amp; Risk Management In India</li> <li>• Different types of Market Participants and their roles</li> <li>• Regulatory Framework &amp; role of SEBI</li> <li>• Understand the Trade Life Cycle, Order Management &amp; Settlement Process of different types of Securities</li> <li>• Services offered by Brokers</li> </ul>		
	<b>Other Highlights:</b> <ul style="list-style-type: none"> <li>• Opportunity to earn a Certificate from IIT Madras.</li> <li>• Lectures imparted by Eminent Academicians and practicing Industry Experts.</li> <li>• Fully Online Pre-Recorded Course with online lectures that provides a “real” classroom experience in a “virtual” environment.</li> <li>• Seamless technology that can transmit lecture videos effectively at home broadband connection of 512 kbps.</li> <li>• User friendly and easy to use technology interface. No expensive and time consuming software/hardware installations required at your end.</li> <li>• Through our web portal, Students are provided access to course presentations, case studies, assignments and other reference materials as applicable for specified courses</li> <li>• Learn from Anywhere – No need to travel to an institute or training centre. Learning continues even if you are traveling or not available at any specific location. You may also learn from the comfort of your home at your convenient time.</li> </ul>		
<b>Total Fees</b>	<b>Total Fees (Rs.)</b>		
	Total Programme Fee	Rs. 1000/- + GST	



## ANNEXURE 1

### PROPOSED COURSE OUTLINE / PROGRAMME / PLAN

#### **CHAPTER 1: INTRODUCTION TO THE SECURITIES MARKET**

INTRODUCTION  
SECURITIES MARKET  
MONEY MARKETS  
PRODUCTS TRADED IN THE INDIAN SECURITIES MARKET

#### **CHAPTER 2: MARKET PARTICIPANTS IN THE SECURITIES MARKET**

INTRODUCTION  
INVESTORS  
ISSUERS  
INTERMEDIARIES  
REGULATORS

#### **CHAPTER 3: INTRODUCTION TO SECURITIES BROKING OPERATIONS**

INTRODUCTION TO THE TRADE LIFE CYCLE  
FRONT OFFICE OPERATIONS  
MIDDLE OFFICE OPERATIONS  
BACK OFFICE OPERATIONS

#### **CHAPTER 4: RISK MANAGEMENT**

RISK MANAGEMENT  
COMPLIANCES AND REGULATORY REPORTING  
CORE SETTLEMENT GUARANTEE FUND

#### **CHAPTER 5: CLEARING PROCESS**

INTRODUCTION  
ROLE OF THE CLEARING AGENCY  
CLEARING BANKS AND THEIR FUNCTION  
CLEARING MEMBERS /CUSTODIANS  
DEPOSITORIES & DEPOSITORY PARTICIPANTS  
CLEARING PROCESS

#### **CHAPTER 6: SETTLEMENT PROCESS**

INTRODUCTION  
DETERMINATION OF SETTLEMENT OBLIGATIONS- EQUITY SEGMENT  
SETTLEMENT OF FUNDS  
SETTLEMENT OF SECURITIES  
CORPORATE ACTIONS ADJUSTMENT  
AUCTION OF SECURITIES

#### **CHAPTER 7: INVESTOR GRIEVANCES AND ARBITRATION**

INTRODUCTION  
INVESTOR GRIEVANCE  
INVESTOR PROTECTION FUND  
ARBITRATION

#### **CHAPTER 8: OTHER SERVICES PROVIDED BY BROKERS**

INTRODUCTION  
IPO APPLICATIONS  
TRADING OF MUTUAL FUND UNITS