



Program Description Document

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





<p>Programme Highlights/USPs</p>	<p>On successful completion of the programme, you will have a good understanding of</p> <ul style="list-style-type: none"> • The Basics of Securities Operations & Risk Management In India • Different types of Market Participants and their roles • Regulatory Framework & role of SEBI • Understand the Trade Life Cycle, Order Management & Settlement Process of different types of Securities • Services offered by Brokers <p>Other Highlights:</p> <ul style="list-style-type: none"> • Opportunity to earn a Certificate from IIT Madras. • Lectures imparted by Eminent Academicians and practicing Industry Experts. • Fully Online Pre-Recorded Course with online lectures that provides a “real” classroom experience in a “virtual” environment. • Seamless technology that can transmit lecture videos effectively at home broadband connection of 512 kbps. • User friendly and easy to use technology interface. No expensive and time consuming software/hardware installations required at your end. • Through our web portal, Students are provided access to course presentations, case studies, assignments and other reference materials as applicable for specified courses • 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. 		
<p>Total Fees</p>		<p>Total Fees (Rs.)</p>	
	<p>Total Programme Fee</p>	<p>Rs. 4,720/- incl GST</p>	



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