

# [Capital market essay sample](https://assignbuster.com/capital-market-essay-sample/)

[](https://assignbuster.com/)[Finance](https://assignbuster.com/essay-subjects/finance/), [Market](https://assignbuster.com/essay-subjects/finance/market/)

1. Trading   
Introduction   
Neat System   
Market Types – Normal Market, Odd Lot Market, Retail Debt Market, Auction Market Corporate Hierarchy   
Local Database   
Market Phases – Opening, Open Phase, Market Close, Surcon Logging on   
Log Off/Exit from the Application   
Neat Screen

Invoking An Inquiry Screen – Market Watch, Security Descriptor, Market by Price, Previous Trades, Outstanding Orders, Activity Log, Order Status, Snap Quote, Market Movement, Market Inquiry, Auction Inquiry, Security/Portfolio List, Multiple Index Broadcast and Graph, Online Backup, Basket trading, Buy Back Trades, Supplementary Functions Order Management – Entering Orders, Order Modification, Order Cancellation, Order Matching Trade Management – Trade Modification, Trade Cancellation Auction – Entering Auction Orders, Auction Order Modification, Auction Order Cancellation, Auction Order Matching Limited Physical Market

Retail Debt Market (RDM)   
Trading Information Downloaded to Members   
Internet Broking   
Wireless Application Protocol

2. Clearing and Settlement   
Introduction – Transaction Cycle, Settlement Process, Settlement Agencies, Risks in Settlement Settlement Cycle   
Securities Settlement   
Funds Settlement   
Shortages Handling   
Risk Containment Measures – Capital Adequacy Requirements, Margins, Settlement Guarantee, No-Delivery Period International Securities   
Identification Number   
Dematerialisation And Electronic Transfer of Securities Investor Protection Fund   
Clearing Software – Reports   
File Transfer Protocol

3. Trading Membership   
Stock Brokers – Introduction, Membership in NSE   
Sub-Brokers   
o Broker-Clients Relations – Know Your Client, Unique Client Code, Margins from the Clients, Execution of Orders, Accumulation of Orders, Contract Note, Payments/Delivery of Securities to the Clients, Brokerage, Payment of Stamp Duty, Segregation of Bank Accounts o Sub-Broker-Client Relations – Know Your Client, Orders, Purchase/Sale Note, Payments/Delivery of Securities, Sub-Brokerage o Dispute, Arbitration and Appeal

o Code of advertisement

4. Legal Framework   
Securities Contracts (Regulation) Act, 1956   
Securities Contracts (Regulation) Rules, 1957   
Securities and Exchange Board of India Act, 1992   
SEBI (Stock Brokers & Sub-Brokers) Rules, 1992   
SEBI (Stock Brokers & Sub-Brokers) Regulations, 1992 SEBI (Insider Trading) Regulations, 1992   
SEBI (Prohibition of Fraudulent And Unfair Trade Practices Relating to Securities Markets) Regulations, 1995 The Depositories Act, 1996   
Indian Contract Act, 1872   
The Companies Act, 1956   
Public Debt Act, 1944   
Income Tax Act, 1961

5. An Overview of the Indian Securities Market   
Introduction – Market Segments, Products and Participants A   
Profile – Dependence on Securities Market, Investor Population Primary Market   
Secondary Market   
Derivatives Market   
Market Design – Primary Market, Secondary Market, Derivatives Market Regulatory Framework   
Research in Securities Market   
Testing and Certification

6. Fundamental Valuation Concepts   
Elementary Statistical Concepts – Mean, Geometric Mean, Variance, Standard Deviation, Coefficient of Variation, Covariance, Correlation Coefficient, Normal Distribution Time Value of Money – Future Value of A Single Cash Flow, Future Value of an Annuity, Present Value of a Single Cash Flow, Present Value of an Annuity Understanding Financial Statements – Comparative Financial Statements, Common Size Statements, Ratio Analysis Equity Research – Bhav Copy Database, Index Database, Order Book Snapshots, Database, Trades Database