

Security Market Operations SOLVED NOTES EBOOK CHAPTERWISE



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Description

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PREVIEW OF CHAPTERS SYLLABUS

Security Market Operations

Unit – I

Security Markets - Legal Environment: SEBI Act, 1992, Securities Contract Regulation Act 1956, Companies Act 1956 (various provisions relating to securities), RBI rules and guidelines for FII's.

Unit – II

Security Markets - Primary market - its role and functions - Methods of selling securities in primary market – New financial instruments – New Issues – SEBI guidelines for public issues – pricing of issue, promoters' contribution – appointment and role of merchant bankers, underwriters, brokers, registrars and managers, bankers etc - Underwriting of issues – Allotment of shares – Procedures for new issues – e-trading.

Unit – III

Secondary Market – Role, importance, organization of stock exchanges – Listing of securities in stock exchanges – Trading mechanism – screen based system – Insider trading; Take-over's – Internet based trading.

Unit – IV

Depository: Role and need – The Depositories Act, 1996, SEBI (Depositories and Participants Regulation) 1996 – SEBI (Custodian of Securities) Regulation 1996 – National Securities Depository Ltd. (NSDL) – Depository participant.

Unit – V

Capital Market Instruments – Equity, Secured Premium Notes, Equity Shares with detachable warrants, Sweat Equity, Non-Voting Shares, Tracking stocks, Preference Shares, Debentures, Disaster Bonds, Option Bonds, Easy Exit Bonds, Split Coupon Debentures, Floating Rate Bonds and Notes, Clip and Strip Bonds, Dual Convertible Bonds, Debt Instruments with Debt warrants, Indexed Rate Notes, Stepped Coupon Bonds, Dual Option Warrants, Extendable Notes, Commodity Bonds, Mortgage Backed Securities, Carrot and Stick Bond, Capital Indexed Bonds, Debt for Equity Swap, Zero Coupon Convertible Notes, Global Depository Receipts, Foreign Currency Convertible Bonds – New instruments of Capital Market – Pure, Hybrid and Derivatives; Money Market Instruments – Treasury bills, Commercial Bills, Commercial Paper, Participatory Notes.

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