

Capital Market (Dealers) Module (CMDM)

- **An Overview of the Indian Securities Market**
Market segments, Key indicators of securities market, Products and participants, Market segments and their products, Reforms in Indian securities markets
- **Trading Membership**
Stock brokers, NSE membership, Surrender of trading membership, Suspension & expulsion of membership, Declaration of defaulter, Authorized persons, Sub-brokers, Broker-clients relations, Sub-broker-clients relations, Investor service cell and arbitration, Code of advertisement
- **Trading**
Introduction, NEAT system, Market types, Trading system users hierarchy, Local database, Market phases, Logging on, Log off/exit from the application, Neat screen, Invoking an inquiry screen, Order management, Trade management, Limited physical market, Block trading session, Retail debt market (RDM), Trading information downloaded to members, Internet broking, Wireless application protocol (wap), Computer to computer link (ctcl) facility
- **Clearing and Settlement**
Introduction, Key terminologies used in clearing and settlement process, Transaction cycle, Settlement agencies, Clearing and settlement process, Securities and funds settlement, Shortages handling, Risks in settlement, Risk management, International securities identification number, Data and report downloads
- **Legal Framework**
SEBI (intermediaries) regulations, 2008 , SEBI (prohibition of insider trading) regulations, 1992, SEBI (prohibition of fraudulent and unfair trade practices relating to, Securities market) regulations, 2003, The depositories act, 1996, Indian contract act, 1872, Income tax act, 1961
- **Fundamental Valuation Concepts**
Time value of money; Understanding financial statement