

Surveillance in Stock Exchanges Module

➤ Introduction

Importance of surveillance in stock exchanges; Market surveillance mechanism

➤ Basic Investment Mathematics

Return and risk, Fundamental analysis, Financial statement analysis, Cost of capital, Capital structure, Capital budgeting, Time value of money; Market index

➤ Rules and Regulations

Securities Contracts Regulation Act, 1956 and Rules, 1957, Securities and Exchange Board of India Act, 1992, SEBI (Stock brokers & Sub Brokers) Regulations 1992, SEBI (Prohibition of Insider Trading) Regulations, 1992, SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 2011, SEBI (Prohibition of Fraudulent and Unfair Trade Practices) Regulations 2000, Prevention of Money Laundering Act 2000, Corporate Governance, Code of Ethics

➤ Investigation, Surveillance and Risk Management

Preliminary analysis and investigation, Surveillance activities – online and offline surveillance and rumour verification, Risk containment measures