

**PG DEPARTMENT OF COMMERCE
KAHM UNITY WOMEN'S COLLEGE, MANJERI**

CERTIFICATE COURSE -2023-24

SYLLABUS

COMCC13

STOCK MARKET OPERATIONS

Certificate Course on Stock Market Operations

Course Description

Stock Market Operations is a Certificate Course designed to provide students with a comprehensive understanding of the basic principles, concepts, and mechanics of the stock market. This course covers essential concepts, tools, and strategies needed to navigate the stock market effectively.

This course aims to equip students with the knowledge, skills, and confidence to navigate the complexities of financial markets and make informed investment decisions. It helps to explore the connection between the Financial Institutions, Instruments and Markets in the business environment and their role played in the Indian economy. It throws light on the Financial Innovations on new financial instruments for smooth and profitable investment decisions.

COMCC13
STOCK MARKET OPERATIONS

Credit: 1

Course Duration: 40 hrs.

COURSE OBJECTIVES:

1. To understand the fundamental principles of stock markets and their role in the economy.
2. To learn about different types of securities, including stocks, bonds, and derivatives.
3. To gain insights into the functioning of stock exchanges and regulatory frameworks
4. To explore trading strategies and risk management techniques.
5. To understand the impact of macroeconomic factors on stock markets

COURSE OUTCOMES:

Upon completing the Certificate Course on Stock Market Operations, participants will possess a well-rounded understanding of stock market mechanisms and their broader economic implications. They will be equipped with the skills to confidently trade and invest in the stock market, leveraging both technical and fundamental analysis for informed decision-making. They will also be able to develop and implement diverse trading strategies, from day trading to long-term investing, while employing robust risk management techniques to safeguard their investments. This comprehensive knowledge will enable participants to navigate the complexities of the stock market, making them valuable assets in the field of finance and investment.

Detailed Syllabus

Module I Introduction to Stock Markets:

History and evolution of stock markets, Key players in the stock market, Types of Securities, Stock Exchanges and Regulatory Framework- Major global stock exchanges, Listing requirements and Regulatory bodies, Pre-requisite to invest in stock Market- Bank Account, Demat Account and Trading account, Demonstration of Opening demat and

trading account and BSDA. Trading- Intra-day trading, swing trading & derivative trading (F& O)-Online trading

(15 Hours, 15 marks)

Module II Primary Market and Secondary Market:

Meaning, Nature, Role and Functions of Primary Market and Secondary Market – Organisation and Regulatory framework for stock exchanges in India – SEBI : functions and measures for secondary market – Overview of major stock exchanges in India - Listing of Securities: Meaning – Merits and Demerits – Listing requirements, procedure, fee – Listing of rights issue, bonus issue, further issue – Listing conditions of BSE and NSE – Delisting

(10 Hours, 15 marks)

Module III Trading, settlement and Surveillance System in Stock Exchanges:

Different trading systems – BSE - BOLT System – Different types of settlements - Pay-in and Pay-out – Bad Delivery – Short delivery – Auction – NSE – NEAT system options – Market types, Order types and books – De-mat settlement – Physical settlement – Institutional segment – Funds settlement – Valuation debit – Valuation price – Bad and short delivery Risk management system in BSE & NSE – Margins – Exposure limits – Surveillance system in BSE & NSE – Circuit breakers

(15 Hours, 10 marks)

Reference Books:

1. Punithavathy Pandian, “Security Analysis and Portfolio Management”, Vikas PublishingHouse Pvt. Ltd.
2. Prasanna Chandra, “Investment Analysis and Portfolio management”, Tata McGraw Hill, 3rd Edn., 2008
3. V. A. Avadhani, *Investment and Securities Market in India*, Himalaya PublishingHouse.
4. Sanjeev Agarwal, *A Guide to Indian Capital Market*, Bharat Publishers
5. Ravi Puliani and Mahesh Puliani, *Manual of SEBI*, Bharat Publication

STRATEGIES FOR INSTRUCTION

The medium of instruction and examination shall be English. Class will be engaged in online and offline platform

EVALUATION & GRADING

SCHEME OF EVALUATION

METHOD OF EVALUATION			
Assessment Methods	Criteria	Marks	Weightage
Formative Assessment (FA)	Attendance	4	25%
	Assignment/Project/Activities/Reports	6	
Summative Assessment (SA)*	Test Paper	30	75%
	Total	40	100

(*Summative Assessment – Internal/External Evaluation)

ATTENDANCE

Attendance	Marks
90-100%	4
85-89.9%	3
80-84.9%	2
75-79.9	1
<75%	0

GRADING POLICY

Grade	Percentage of total marks (FA+SA)
A	80% & above
B	60-79.9%
C	50-59.9%
D	40-49.9%
Not qualified	<40%

MODEL QUESTION PAPER
KAHM UNITY WOMEN'S COLLEGE, MANJERI
DEPARTMENT OF COMMERCE
Certificate Course Exam, March 2024
COMCC13 STOCK MARKET OPERATIONS

Time: 1 Hour

Max Marks: 30

Section A

Answer at least ten questions. Each question carries 1 mark.

All questions can be attended. Overall ceiling 10.

1. Define Primary Market
2. What do you mean by online trading?
3. Explain Demat Account?
4. What is Intra-day trading?
5. Write a note on Secondary Market?
6. Who sets the price in a stock market?
7. Explain Delisting
8. What are stock exchanges
9. Who are intermediaries?
10. What are types of securities?
11. Who are the investors in the stock market?
12. Explain BSE

(10*1= 10 Marks)

Section B

Answer at least five questions. Each question carries 2 marks.

All questions can be attended. Overall ceiling 10.

13. What are the roles of Primary Market?
14. What are types of securities?
15. What are the ways to invest in the stock market?

16. What are the differences between Primary and Secondary market?
17. Explain pre-requisite to invest in stock Market
18. Explain Listing conditions of BSE and NSE

(5*2= 10 Marks)

Section C

Answer any two questions. Each question carries 5 marks

1. What are Different types of settlements?
2. Explain different trading systems
3. What are the functions of SEBI?

(2*5= 10 Marks)