COC104  Capital Markets [4 Credits]

**Learning Objectives:** This course aims at giving a comprehensive understanding of capital market operations in terms on structure, trading and settlement procedures, instruments, processes and related components as also emerging challenges in the area.

### UNIT 1: Financial Markets and Instruments  
(12 Hours)


### UNIT 2: Securities Market  
(12 Hours)


### UNIT 3: Primary Market  
(12 Hours)


**Documentation of Issue of Securities:** Registrar of Companies – Issue of Prospectus – Types of Prospectus – Offer Document

### UNIT 4: Secondary Market  
(12 Hours)

**Introduction to Secondary Market:** Meaning of Secondary Market – Role of Secondary Market – Primary Market -


### UNIT 5: Risk management and Regulatory Framework  
(12 Hours)

**Risks Surveillance:** Risk in Settlements – Types of Risks – Risk Management: Capital Adequacy Requirements –

**Margins:** Types of Margins – Online Exposure Monitoring – Offline Monitoring -


**Suggested Readings:**

5. V. A. Avadhanl, Investment and Securities Market in India, Himalaya Publishing House.
9. Nick Battley, Introduction to Commodity Futures and Options, Irwin
10. French, Don, Security and Portfolio Analysis, Merrill Publishing Co.
13. Cheney, Muses, Fundamentals of Investments
14. V. K. Bhalja, Portfolio Analysis and Management, Sultan Chand & Sons