



Central Economic Intelligence Bureau

6th & 8th Floor, Janpath Bhawan, Janpath,
New Delhi

Dated: 03rd April, 2019

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TRAINING CIRCULAR

Sub: Training programme on "Investigating Economic Crimes in Securities Markets" at National Institute of Securities Markets, Navi Mumbai - reg.

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A five day training programme on "Investigating Economic Crimes in Securities Markets" is scheduled to be conducted at National Institute of Securities markets (NISM Campus), Plot No. IS1 & IS2, Patalganga Industrial Area, Village - Mohopada (Wasambe), Rasayani, Taluka Khalapur, Dist. Raigad, Maharashtra - 410222 from **13th to 17th May, 2019** for officers of the rank of Income Tax Officer/Superintendent to Principal Commissioner/Principal Director.

2. Duration & Schedule of the Course:

Duration: 5 days

Schedule: From 13th to 17th May, 2019.

3. Eligibility:

Income Tax Officer/Superintendent to Principal Commissioner/Principal Director.

4. Objectives of the Training Programme:

- **Classroom Sessions :-** Evolution of Indian Securities Market; Role and Function of SEBI; Regulatory & Legal Framework related to Securities Markets; Understanding role and function of Market Infrastructure Institutions; Intermediaries in Securities Markets (Brokers, Depository Participants, Merchant Bankers, Registrar & Transfer Agents, etc.); Instruments in Indian Securities Markets - Equity, Corporate Bond, Government Securities, Hybrid Instruments & Derivatives (Equity & Commodities); Primary Market Operations: Raising Funds (Equity+ Debt), public issue process and role of various intermediaries, Buy Back, Corporate Restructuring, Takeover; Secondary Market Operations: Role of Stock Exchanges, Clearing Corporations, Depositories, etc. Trading and Settlement, Risk Management, Derivatives; Algorithm, High Frequency Trading and Co-location; Mutual Funds and Portfolio Management (including mis-selling of mutual fund units); Potential scope of manipulation and fraud during various transactions by intermediaries; Surveillance and Investigations related to various kinds of manipulations; Case studies on investigations related to manipulation for Long-Term Capital Gains (LTCG); Case studies on Insider trading and other fraudulent trade practices; Investigations related to Collective Investment Schemes & deemed-public issues of securities; Discussion on cases where SEBI order was challenged by SAT and SAT was challenged before Supreme Court; Supervision of Markets & Intermediaries; Investor Grievance Redressal Mechanism, etc.; Anti-Money Laundering and Combating Terrorist Financing; Indian Capital Markets vis-à-vis Global Capital Markets.

- **Practical: -** Trading in simulated Environment at NISM Finance Lab; Field Visits to SEBI, Stock Exchange/Depository.

5. Course Fee:

(i) For Residential Participants: Rs.41, 300/- (including GST).

(ii) For Non-Residential Participants: Rs.26, 550/- (including GST).

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6. Mode of Payment of Course Fee:

The course fee has to be paid by the office of the participant which is paid through RTGS/NEFT in advance. Following are the bank account details for NEFT/RTGS for participants:

Beneficiary Name : National Institute of Securities Markets
Beneficiary's Address : NISM Bhavan, Plot No.82, Sector 17, Vashi,
Navi Mumbai – 400705
Bank Name : State Bank of India
Branch Name : 09961 BAPMC Phase II, Market 1, Turbhe Central Facility
Bldg, Navi Mumbai – 400 703
Account Number : 31133119095
IFS Code : SBIN0009961
PAN Number : AAAAN4685M
GSTIN : 27AAAAN4685M1Z1

7. Nominations:

- a) It is requested to circulate the Training Circular among all eligible officers and nominate eligible officers, one as 'main' and others as 'reserve' from each office for the said course.
- b) The supervisory officers of the participants are to send the willingness & nomination of the participants, after due vigilance check, directly to the Bureau, under the intimation to their Cadre Controlling Authority.
- c) Following details of the participants are to be provided by email at ad3-ceib@gov.in or Fax no.011-23712451 to Shri Bhanu Prakash Meena, Assistant Director (Coordination) **latest by April 29, 2019:**
 - (i) Name and Designation
 - (ii) Office (With Postal Address)
 - (iii) Telephone/ Mobile No and Fax No.
 - (iv) E-mail Id

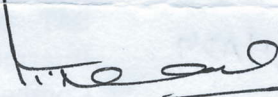
8. Liaison officer of Central Economic Intelligence Bureau:

Name : Shri Bhanu Prakash Meena, Assistant Director (Coord.)
Contact Tele/Fax No : 011-23712451
Mobile No : 9899500552
E-Mail : ad3-ceib@gov.in

9. Confirmation of the Nomination:

- a) The nominations should be **sent to Central Economic Intelligence Bureau and not to the Institute** directly. The officers shortlisted by the Bureau for participation in the programme shall be intimated to the concerned office and officers by this Bureau in due course.
- b) Head of the office is requested to relieve nominated officers for the training programme only after receiving confirmation of acceptance of their nominations from this Bureau.




(Yalla Narasimham)
Deputy Director (Coord)

To,
All Convener REICs, All Pr. Chief Commissioners/Chief Commissioners/Director Generals Central Excise, Customs & Service Tax (Goods and Service Tax) and All Pr. Chief Commissioners/Chief Commissioners /Director Generals Income Tax (By Name), DGCEI, DRI, ED, FIU, SFIO, CBDT & CBEC website, Pr. Commissioners/Commissioners Central Excise, Customs & Service Tax (Goods and Service Tax)/Pr. Commissioners of Income Tax/Commissioners of Income Tax (By E-mail).