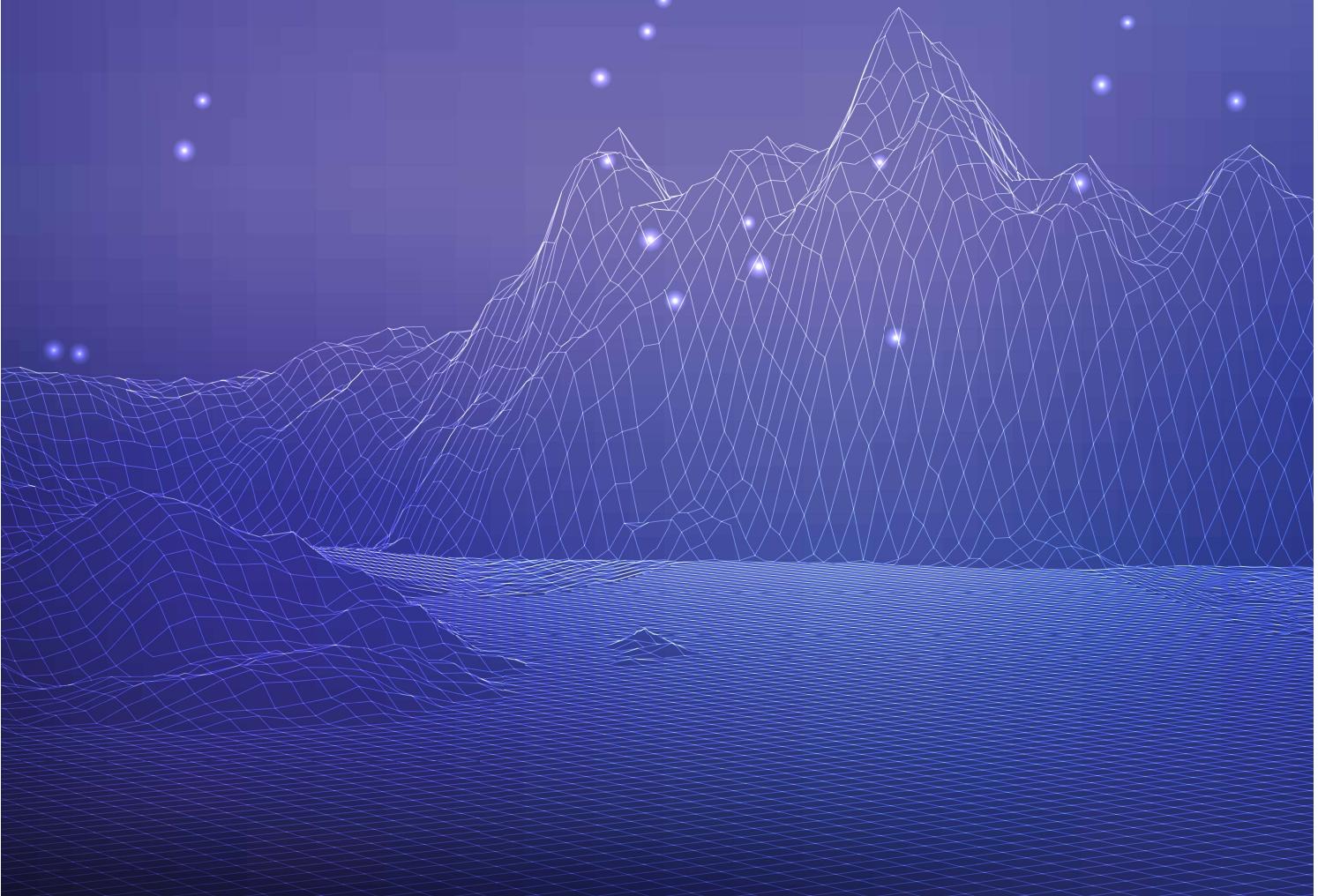




**CAPITAL MARKET**  
TRAINNING INSTITUTE

# PROPOSAL

FOR THE EMPLOYEE OF DEPOSITORY PARTICIPANT (DP) & STOCK BROKER OFFICE





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# INTRODUCTION:

Unlock Your Potential with Comprehensive Capital Market Training!

Are you an employee in a stock broker office or DP's institution? Are you eager to enhance your knowledge and skills in the dynamic world of the stock market? Look no further! At the Capital Market Training Institute, we have designed a comprehensive training program tailored specifically for individuals like you who are seeking personal and professional growth.

In today's fast-paced financial landscape, having a deep understanding of the capital market is crucial. However, many employees in stock broker offices or DP's institution and other institutions lack proper training on key aspects such as customer dealing, KYC form filling, staffing and administration management, and more. This knowledge gap can hinder career advancement opportunities and limit overall performance.

But fear not! Our specialized training program at the Capital Market Training Institute aims to bridge this gap by providing you with all the necessary tools and expertise to excel in your role within the stock broker or DP's office. With our program, you'll gain an overview of the capital market, including insights into NEPSE (Nepal Stock Exchange), SEBON, index and sub-indices of NEPSE, trading procedures, basics of capital market operations, and much more.

So get ready to enroll in our comprehensive training program? Let's explore some compelling reasons that make it beneficial for employees like yourself.





## CURRENT PROBLEM:

**Many stock broker offices or DP's institution face a common challenge - the lack of comprehensive training programs for their employees. In the fast-paced world of capital markets, it is crucial for stock brokers or DP's institution to stay updated with the latest industry trends and regulations. However, due to limited resources and time constraints, many offices struggle to provide adequate training to their staff.**

This gap in knowledge can lead to inefficiencies and potential risks within the office. Employees may not be familiar with important processes such as customer acquisition, KYC form filling, or even basic trading procedures. The absence of standardized processes for staffing and administration management further exacerbates this problem.

Moreover, without a thorough understanding of the capital market landscape, employees may struggle to offer effective solutions or cater to client needs. This could hinder growth opportunities both for individual employees and the organization as a whole.

To address these issues, there is an urgent need for a comprehensive training program that covers all aspects related to working in a stock broker office or DP's institution. Such a program would provide valuable insights into customer dealing practices, regulatory compliance requirements (including AML/CFT), overview of NEPSE (Nepal Stock Exchange), SEBON, index and sub-indices knowledge, trading procedures, basics of capital market operations like TMS (Trading Management System) usage etc., career enhancement opportunities through professional development initiatives etc.

By offering quality training sessions on topics ranging from customer acquisition strategies to understanding SEBON regulations and CDSC functions among other relevant themes, it will equip employees with essential skills needed for success in their roles.

**It aims at bridging gaps in knowledge while fostering personal and professional growth.**



## OUR SERVICE CMTI:

Our Service Capital Market Training Institute is a comprehensive training program designed specifically for employees of DP's/stock broker offices. We understand the challenges faced by individuals working in this fast-paced industry and aim to equip them with the necessary skills and knowledge to excel in their roles.

At our institute, we offer a wide range of courses that cover various aspects of the stock market, including customer dealing, KYC form filling, staffing and administration management, and an overview of SEBON, NEPSE (Nepal Stock Exchange), and its sub-indices. Participants will also learn about the trading procedure, basics of capital market operations, as well as gain insights into professional career enhancement opportunities.

One common issue faced by many employees in this field is a lack of knowledge about standardized processes for staffing and administration management within DP's/stock broker offices. Our training program aims to bridge this gap by providing clear guidelines on how to effectively manage these tasks.

Additionally, participants will gain valuable insights into regulatory bodies such as SEBON (Securities Board of Nepal), CDSC (Central Depository System & Clearing Limited), merchant bankers (issue managers), depository participants, AML/CFT regulations, client dealing protocols, act laws/regulations/circulars related to capital markets.

By enrolling in our program, employees can expect personal growth through enhanced knowledge and skills development. This comprehensive training will not only benefit their current positions but also open doors for future career opportunities within the industry.

To ensure maximum convenience for participants from various locations across Nepal or even abroad we offer flexible methods of delivery including online classes or onsite workshops conducted by experienced trainers who have hands-on experience in the field.

Evaluation plays a crucial role in measuring progress; therefore we have devised an evaluation plan that assesses participant's understanding through regular quizzes/exams while awarding certificates upon successful completion.

With our commitment to providing high-quality education combined with practical application techniques tailored specifically towards DP's/stock broker office professionals', Capital Market Training Institute is the ideal choice for those seeking to enhance their skills and excel in this industry.



## OBJECTIVES:

At Capital Market Training Institute, our comprehensive training program aims to equip employees of DP's/stock broker offices with the necessary knowledge and skills to excel in the dynamic world of capital markets. Our primary objective is to bridge the gap between theoretical understanding and practical application.

Through our training, we aim to provide a thorough overview of the capital market, including its various components such as NEPSE (Nepal Stock Exchange), index and sub-indices, trading procedures, and basics of capital market operations. We also cover important topics like customer dealing, KYC form filling, AML/CFT regulations, customer acquisition techniques, and more.

One of our key objectives is to enhance employee's professional growth by equipping them with industry-relevant skills. By attending our training program, employees will gain a deeper understanding of standardized processes for staffing and administration management within DP's/stock broker office. They will also learn about SEBON (Securities Board of Nepal), CDSC (Central Depository System & Clearing Ltd.), merchant bankers (issue managers), depository participants, among others.

Furthermore, we aim to foster career enhancement opportunities for employees by providing them with valuable insights into customer relationship management through effective communication strategies. We believe that empowering employees in these areas can lead not only to their personal growth but also contribute significantly towards enhancing overall organizational efficiency.

With an emphasis on practical learning alongside theoretical concepts, attendees will be able to apply their newly acquired knowledge directly in their day-to-day activities such as TMS (Trading Management System) operations and collateral load management.

Our objectives revolve around enabling employees from stock broker offices or DP's office to become proficient professionals who can confidently navigate various aspects related to fund settlement processes while adhering strictly to regulatory guidelines set forth by relevant authorities like SEBON and NEPSE.

By participating in our comprehensive training program at Capital Market Training Institute, employees can unlock new possibilities for career advancement and contribute to the growth of their respective organizations within the stock market.



## ELIGIBILITY:

The Capital Market Training Institute's program is designed to cater to a wide range of individuals working in stock market-related companies. Whether you are an employee of a stock broker office, merchant bank, mutual fund, CDSC (Central Depository System and Clearing), DP's, this training program is for you.

The training program aims to equip participants with the necessary skills and knowledge related to client dealing, KYC filling, customer accusation, customer service, AML/CFT, staffing and administration management in the stock market

This program is suitable for both beginners who want to gain a solid foundation in capital markets and experienced professionals looking to enhance their expertise. The content has been carefully curated by industry experts to ensure that it meets the needs of all participants regardless of their level of experience.

By joining this training program, employees will have access to comprehensive resources that will enable them not only to understand how the stock market works but also make informed investment decisions on behalf of organization. This will ultimately lead to improved service delivery and increased client satisfaction.

Having an eagerness to learn and grow both personally and professionally is essential for success in our program. The capital market is ever-evolving, so it's crucial for individuals to stay updated on new regulations, acts, by-laws, and industry trends.

Overall, the eligibility criteria for this training program include being employed by a stock market-related company such as DP's, Stock Broker Office, Merchant Banker(Issue Manager), CDSC, or Mutual Fund, and having an interest in expanding your knowledge in these areas.





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## BENEFICIAL TO EMPLOYEE:

One of the key benefits of enrolling in the Capital Market Training Institute's comprehensive training program is the immense value it brings to employees working in DP's/stock broker offices. The program equips them with essential knowledge and skills that are directly applicable to their roles, helping them excel professionally.

By participating in our training program, employees gain a solid understanding of various aspects related to the stock market. They learn about customer dealing, KYC form filling, and administration management specific to stock broker offices and depository participants (DPs). This empowers them to handle their responsibilities efficiently and effectively.

Furthermore, our training covers an overview of capital markets, NEPSE (Nepal Stock Exchange), index and sub-indices analysis, as well as trading procedures. Employees become well-versed in the basics of capital market operations and gain insights into industry regulations enforced by SEBON (Securities Board of Nepal) and other institutions.

The training also addresses critical topics like AML/CFT (Anti-Money Laundering/Combating Financing Terrorism) compliance for client dealing. Participants will understand how to ensure regulatory adherence while acquiring new customers within legal boundaries defined by acts, by-laws, regulations, and circulars.

The benefits for employees extend beyond professional growth. Our training program offers valuable support for career enhancement opportunities within their respective organizations or even outside if they choose to explore different avenues in the financial sector. With enhanced knowledge on staffing and administration processes specific to stock brokers' offices or DPs', participants can contribute more significantly towards overall organizational success.

Moreover, the Capital Market Training Institute provides practical hands-on experience through its Trading Management System (TMS). This enables participants to apply their learning effectively while simulating real-world scenarios without any risks involved.

Last but not least is our focus on collateral loans refund process fundamentals alongside fund settlement procedures ensuring a holistic perspective across different areas relevant for employee growth within a stockbroker office or DP's establishment.





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## METHODS OF DELIVERY:

At Capital Market Training Institute, we understand the importance of delivering our comprehensive training program in a way that is accessible and convenient for employees of DP's/stock broker offices. That's why we offer multiple methods of delivery to cater to different learning styles and schedules.

One option is live webinars, where participants can join interactive sessions led by experienced trainers. This provides real-time engagement and the opportunity to ask questions and receive immediate feedback.

Another method is through online modules, where participants can access the training materials at their own pace from anywhere with an internet connection. This allows flexibility for individuals who may have busy work or personal commitments.

Additionally, we provide blended learning options combining both online modules and in-person workshops. This hybrid approach ensures a well-rounded learning experience that combines self-paced study with interactive group activities.

By offering these various methods of delivery, we aim to accommodate different preferences and ensure that every employee has access to high-quality capital market training regardless of their location or schedule constraints.





## EVALUATION PLAN:

At Capital Market Training Institute, we understand the importance of assessing the effectiveness and impact of our comprehensive training program. That's why we have developed a robust evaluation plan to ensure that our employees receive the best possible training experience.

The evaluation plan consists of multiple components designed to measure both short-term and long-term outcomes. We conduct pre-training assessments to gauge the existing knowledge and skills of each employee. This helps us tailor the program content to their specific needs.

During the training sessions, continuous monitoring is done through quizzes, interactive exercises, and group discussions. This not only keeps participants engaged but also allows us to identify any gaps in understanding or areas that require further clarification.

Post-training evaluations are conducted immediately after completing each module. We collect feedback from participants regarding their satisfaction with the program, relevance of content, and overall learning experience. Additionally, we also assess their ability to apply newly acquired knowledge in practical scenarios.

To evaluate long-term outcomes, follow-up assessments are conducted several months after completion of the training program. This enables us to determine if participants have successfully implemented what they learned into their daily work routine and track any improvements in performance metrics.

Our evaluation plan ensures that our comprehensive training program is continuously refined based on participant feedback and industry trends – ultimately leading to enhanced professional growth for employees within DP's/stock broker offices.





## PROGRAM DETAILS:

Our comprehensive training program at Capital Market Training Institute is designed to provide employees of DP's/stock broker offices with a deep understanding of the stock market and its related processes. The program covers various aspects such as customer dealing, KYC form filling, staffing and administration management, overview of NEPSE (Nepal Stock Exchange), index and sub-indices, trading procedure, basics of capital market, client dealing, AML/CFT (Anti-Money Laundering/Combating the Financing of Terrorism) regulations, and more.

Through our program, participants will gain knowledge about standardized processes for staffing and administration within stock broker offices. They will also learn about SEBON (Securities Board of Nepal), CDSC (Central Depository System & Clearing Limited), merchant bankers (issue managers), depository participants, and other institutions in the capital market.

The training program not only benefits employees by enhancing their professional skills but also contributes to their personal growth. It opens doors to new opportunities in the stock market industry and enables career advancement. Participants will receive hands-on experience with TMS (Trading Management System) software used in stock broker offices.

Moreover, our program provides insights into collateral loans, fund settlement procedures, and refund mechanisms that are essential for efficient operations within a DP's/stock broker office.

Join us at Capital Market Training Institute to equip yourself with the knowledge needed for success in the dynamic world of capital markets!





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## REGISTRATION:

To take advantage of our comprehensive training program and unlock the doors to personal and professional growth, registration is essential. The process is simple and user-friendly, ensuring that you can get started on your journey without any hassle.

By registering with the Capital Market Training Institute, you will gain access to a wealth of knowledge and resources that are specifically tailored for employees in DP's/stock broker offices. Our experienced trainers will guide you through every step of the way, providing valuable insights into the stock market and equipping you with the necessary skills to excel in your role.

Don't let a lack of knowledge hinder your career progression. Take charge of your future by enrolling in our training program today. Together, we can bridge the gap between where you are now and where you want to be in your professional journey.

Remember, success favors those who seize opportunities and invest in their own development. Register now at Capital Market Training Institute and embark on an exciting path towards a brighter future!





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## CONTACT US:

📍 MarphaHouse Anamnagar-29,  
Kathmandu

☎ 01-5911448

📞 9801192711

✉ cmti.official@gmail.com

🌐 cmti.com.np

