



ECSM CERTIFICATION WORKSHOP COURSE OUTLINE

COURSE TITLE: INTRODUCTION TO THE GLOBAL RBO & TRANSFERS AT THE CSD

COURSE CODE: ECSM1011

COURSE DESCRIPTION

This course concentrates on the movement of securities from the investor's account at the Registry to the brokers account at the Depository and vice versa. This is a practical course and provides participants with first-hand knowledge of the software functionalities.

COURSE LEVEL

Participants are expected to hold a bachelor's degree in business, to have basic computer skills and working knowledge of computer applications, to evaluate financial performance and be able to gather and analyse statistical information.

LEARNING OUTCOMES - What You Will Know And Be Able To Do

Upon completion of this course participants should be able to –

- Explain Nominee Name Accounts
- Recall the Types of CSD Accounts – **'Free Account'**, **'Segregation Account'** and **'Transfer In Account'** and differentiate their use
- Apply the Functionalities of the RBO e.g. to shift between the Depository and the Registry
- Analyse and explain the Depository and Registry transfer Lists and Details
- Distinguish between and perform the different Types of transfers – **'Sub-Account'**, **'To Street'** **'From Streets'** (new & existing customers) & **'Free Delivery'**
- Execute and verify the Canceling of Transfers
- Analyse and interpret Printed Reports to facilitate record keeping e.g. preparation of Main Stock Records

CONTENT OUTLINE AND COMPETENCIES - What You Will Learn

Topics:

- ◆ Discuss Nominee Name Accounts
- ◆ Discuss types of CSD Accounts
- ◆ Overview of RBO Functionality

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TRANSFERS

- ◆ View and discuss Depository Transfer Lists and Details
- ◆ View and discuss Registry Lists and Details
- ◆ Sub-Account Transfers
- ◆ To Street Transfers
- ◆ From Street Transfers
 - For existing customer
 - For a new customer
- ◆ Cancelling a Transfer
- ◆ Free Delivery Transfers

USING GLOBAL RBO

- ◆ Using/printing reports to facilitate record keeping (eg Main Stock Records)
- ◆ Effecting transfers as part of brokerage operations