



ECSM CERTIFICATION WORKSHOP COURSE OUTLINE

COURSE TITLE: UNDERSTANDING THE ROLE OF MARKET PARTICIPANTS IN THE ECSM

COURSE CODE: ECSE1004

COURSE DESCRIPTION

This session provides in-depth discussion on **all** participants of the ECSM, clearly identifying their role, responsibility and authority as established under the legislation, and providing the framework within which their duties are executed.

COURSE LEVEL

The course requires a first degree in Finance or similar certification or supervisory/management experience in a regulated financial institution.

LEARNING OUTCOMES - What You Will Know

At the conclusion of the course you should:

- Be familiar with the various categories of market participants (individual and institutions) that operate in the ECSM;
- Be conversant with the role and responsibilities of the various participants in the ECSM.

CONTENT OUTLINE AND COMPETENCIES - What You Will Cover

Topics

- Eastern Caribbean Securities Regulatory Commission (ECSRC);
- The Self Regulatory Organisation (SRO);
- Exchanges/The Eastern Caribbean Securities Exchange (ECSE);
- Clearing Agencies and Custodians/Eastern Caribbean Central Securities Depository (ECCSD);
- Securities Registries/Eastern Caribbean Central Securities Registry (ECCSR);
- The Broker Dealer Firm;
- The Principal;
- The Representative;
- The Investment Adviser.