



Margin Transactions - Online

This course covers margin accounts and requirements, and also explains the rules and regulations that govern trading equities and bonds on margin. Topics covered include liquidations, withdrawals, substitutions, and SMA accounts. The course is intended for margin, compliance, and credit control personnel, as well as operations professionals who interface with margin/credit functions.

This course replicates the content from lesson 2 of Margin I: Intro to Margin Regulations - Online

This is an asynchronous eLearning course that can be accessed 24/7 from any internet enabled computer. Subscription period for this course is 90 days.

Available Session(s):

Available Today

Online

USD \$120.00

Online

Instructor(s):[]

Advance Preparation

No advance preparation required.

Learning Objectives

Students will be able to:

- Review initial and maintenance margin requirements
- Identify the basic deposits required in a margin account for different kinds of transactions
- Compute the Regulation T margin excess in the account
- Explain how to account for multiple margin account transactions on the same day.
- Identify the rules of liquidation/withdrawal.

Level: Basic

CPE Credits: 2

Instructional Method: Self-Study

Detailed Outline

Margin Transactions

- Basic margin account requirements
- Computation of Regulation T and maintenance excess
- Special memorandum account
- Liquidations, withdrawals and substitutions

For more information regarding administrative policies such as complaints and refunds, please contact our offices at 212-641-6616.