



Margin Calls - 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 3 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:

- Calculate when a customer will incur a maintenance margin call on long positions.
- Calculate when a customer will incur a maintenance margin call on short positions.
- Define buying power and identify how it is used
- Recall the steps a customer can take to meet maintenance margin calls.
- Identify the steps a customer must take to meet Regulation T margin calls.
- Recognize the functions of the Margin Department.

Level: Basic

CPE Credits: 2

Instructional Method: Self-Study

Detailed Outline

Margin Calls

- Maintenance calls on long positions
- Maintenance calls on short positions
- Buying power
- Meeting Regulation T and maintenance calls
- Functions of the margin department

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