ABOUT NISM

In pursuance of the announcement made by the Finance Minister in his Budget Speech in February 2005, Securities and Exchange Board of India (SEBI) has established the National Institute of Securities Markets (NISM) in Mumbai.

SEBI, by establishing NISM, has articulated the desire expressed by the Government of India to promote securities market education and research.

Towards accomplishing the desire of Government of India and vision of SEBI, NISM has launched an effort to deliver financial and securities education at various levels and across various segments in India and abroad. To implement its objectives, NISM has established six distinct schools to cater the educational needs of various constituencies such as investor, issuers, intermediaries, regulatory staff, policy makers, academia and future professionals of securities markets.

NISM brings out various publications on securities markets with a view to enhance knowledge levels of participants in the securities industry.

NISM is mandated to implement certification examinations for professionals employed in various segments of the Indian securities markets.

ABOUT NISM CERTIFICATIONS

The School for Certification of Intermediaries (SCI) at NISM is engaged in developing and administering Certification Examinations and CPE Programs for professionals employed in various segments of the Indian securities markets. These Certifications and CPE Programs are being developed and administered by NISM as mandated under Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) Regulations, 2007.

The skills, expertise and ethics of professionals in the securities markets are crucial in providing effective intermediation to investors and in increasing the investor confidence in market systems and processes. The School for Certification of Intermediaries (SCI) seeks to ensure that market intermediaries meet defined minimum common benchmark of required functional knowledge through Certification Examinations and Continuing Professional Education Programmes on Mutual Funds, Equities, Derivatives, Securities Operations, Compliance, Research Analysis, Investment Advice and many more. Certification creates quality market professionals and catalyzes greater investor participation in the markets. Certification also provides structured career paths to students and job aspirants in the securities markets.
NISM is a leading provider of high end professional education, certifications, training and academic programmes in financial markets. NISM engages in capacity building among stakeholders in the securities markets through professional education, financial literacy, enhancing governance standards and fostering policy research. NISM works closely with all the financial sector regulators in the area of financial education.

NISM Certification programs aim to enhance the quality and standards of professionals employed in various segments of the financial services sector. NISM’s School for Certification of Intermediaries (SCI) develops and conducts certification examinations and Continuing Professional Education (CPE) programs that aim to ensure that professionals meet the defined minimum common knowledge benchmark for various critical market functions.

NISM certification examinations and educational programmes cater to different segments of intermediaries focusing on varied product lines and functional areas. NISM Certifications have established knowledge benchmarks for various market products and functions such as Equities, Mutual Funds, Derivatives, Compliance, Operations, Advisory and Research.

NISM certification examinations and training programs provide a structured learning plan and career path to students and job aspirants who wish to make a professional career in the Securities markets. Till March 2019, NISM has certified nearly 8 lakh individuals through its Certification Examinations and CPE Programs.

NISM supports candidates by providing lucid and focused workbooks that assist them in understanding the subject and preparing for NISM Examinations. These workbooks shall be immensely useful to all those who want to have a better understanding of Indian Securities markets.

S.K. Mohanty
Director
# Details About NISM Certification Examinations

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<th>NISM Certification Examinations</th>
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## How to Register and take the Examination

To find out more and register for the examination please visit www.nism.ac.in
Series-I

Certification Examination for
Currency Derivatives

Syllabus Outline
- Introduction to Currency Markets
- Foreign Exchange Derivatives
- Exchange Traded Currency Futures
- Strategies Using Currency Futures
- Trading in Currency Futures
- Clearing, Settlement and Risk Management in Currency Futures
- Exchange Traded Currency Options
- Accounting and Taxation
- Regulatory Framework for Currency Derivatives
- Codes of Conduct and Investor Protection Measures


Series-IIA

Certification Examination for
Registrars to an Issue and Share Transfer Agents - Corporate

Syllabus Outline
- Introduction to Securities
- Characteristics of Equity Shares
- Other Securities
- Debt Securities
- Mutual Funds
- SEBI - Role and Regulations
- Public Offer of Securities
- Private Placement of Shares
- Public Offering of Shares
- Roles and Responsibilities in a Public Issue
- Depository Services
- Processes Related to Depositories
- Investor Interface with the R&T Agent
- Secondary Market Transactions

Series-IIB

Certification Examination for Registrars to an Issue and Share Transfer Agents - Mutual Fund

Syllabus Outline
- Introduction to Securities
- Characteristics of Equity Shares
- Other Securities
- Debt Securities
- Mutual Funds
- SEBI - Role and Regulations
- Mutual Fund Structure and Constituents
- Mutual Fund Products
- Tax Aspects of Mutual Fund Products
- Operational Concepts
- Investors in Mutual Funds
- Banking Operations in Mutual Funds
- Financial Transactions
- Non-Financial Transactions

Series-III A

Certification Examination for Securities Intermediaries Compliance (Non-Fund)

Syllabus Outline

Part A: Understanding Financial Structure in India
- Introduction to Financial System
- Regulatory Framework: General View
- Introduction to Compliance
- SEBI Act, 1992
- Securities Contracts (Regulation) Act, 1956 and Securities Contracts (Regulation) Rules, 1957
- SEBI (Intermediaries) Regulations, 2008
- SEBI (Prohibition of Insider Trading) Regulations, 2015
- Prevention of Money Laundering Act, 2002
- SEBI (KYC Registration Agency) Regulations, 2011

Part B: Understanding Intermediary Specific Regulations
- SEBI (Stock Brokers and Sub-Brokers) Regulations, 1992
- SEBI (Merchant Bankers) Regulations, 1992, SEBI (Delisting of Equity Shares) Regulations, 2009, SEBI (Substantial Acquisition of Shares & Take-overs) Regulations, 2011 & SEBI (Buy-back of Securities) Regulations, 2018
SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009
Depositories Act, 1996
SEBI (Depositories and Participants) Regulations, 2018
SEBI (Bankers to an Issue) Regulations, 1994
SEBI (Underwriters) Regulations, 1993
SEBI (Debenture Trustees) Regulations, 1993
SEBI (Credit Rating Agencies) Regulations, 1999
SEBI (Custodian of Securities) Regulations, 1996

Series-IIIB

Certification Examination for Issuers Compliance

Syllabus Outline
- Introduction to Indian Capital Market
- Capital Market Regulations
- Compliance Officer
- Raising Capital from the market
- Role of Compliance Officer in IPO
- Role of Compliance Officer in other Public Issues
- Raising Money from Foreign Market
- Corporate Actions
- Ongoing Compliance Requirements

Series-IV

Certification Examination for Interest Rate Derivatives

Syllabus Outline
- Fixed-income and Debt Securities – Introduction
- Interest Rate – Introduction
- Return and Risk Measures for Debt Securities
- Interest Rate Derivatives
- Contract Specification for Interest Rate Derivatives
- Trading, Clearing, Settlement and Risk Management
- Regulations and Compliance
- Trading and Hedging
Series-VA

Certification Examination for Mutual Fund Distributors

Syllabus Outline

- Concept and Role of a Mutual Fund
- Fund Structure and Constituents
- Legal and Regulatory Environment
- Offer Document
- Fund Distribution and Channel Management Practices
- Accounting, Valuation and Taxation
- Investor Services
- Return, Risk and Performance of Funds
- Mutual Fund Scheme Selection
- Selecting the Right Investment Products for Investors
- Helping Investors with Financial Planning
- Recommending Model Portfolios and Financial Plans


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कार्यक्रम की रूपरेखा

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- मॉडल पोर्टफोलियो और वित्तीय प्लान की संस्थाएँ

Series-VB

Certification Examination for Mutual Fund Foundation

Syllabus Outline

- Concept and Role of a Mutual Fund
- Fund Structure and Constituents
- Mutual Fund Products
- Performance of Mutual Funds
- Mutual Fund Taxation
- Offer Document
- Fund Distribution and Sales Practices
- Investor Transactions
- Investment Services
- Asset Classes
- Financial Planning Concepts
- Helping Investors with Financial Planning
- Legal and Regulatory Environment


Series-VC

Certification Examination for Mutual Fund Distributors (Level 2)

Syllabus Outline

- Mutual Fund Structures
- Legal and Regulatory Environment of Mutual Funds
- Fund Distribution and Sales Practices
- Investment and Risk Management
- Valuation of Schemes
- Accounting
- Taxation
- Investor Services
- Scheme Evaluation
- Asset Classes and Alternate Investment Products
- Cases in Financial Planning
- Ethics and Investor Protection

Series-VI

Certification Examination for Depository Operations

Syllabus Outline

- Introduction to the Indian Capital Market
- Introduction to Depository
- Depository and its Business Partners
- Functions of Depository Participant - Account Opening
- Functions of Depository Participant - Transmission and Nomination
- Functions of Depository Participant - Dematerialisation
- Functions of Depository Participant - Trading and Settlement
- Special Services - Pledge & Hypothecation
- Special Services - Corporate Actions
- Special Services - Public Issues and Tender Offer
- Special Services - Debt Instruments & Government Securities
- Foreign Portfolio Investors (FPIs)
- Additional Services - Basic Services Demat Account (BSDA)

PRICE : ₹ 330
EDITION : 2019
PAGES : 240
ISBN : 9789389546682

Series-VII

Certification Examination for Securities Operations and Risk Management

Syllabus Outline

- Introduction to the Securities Market
- Market Participants in the Securities Market
- Introduction to Securities Broking Operations
- Risk Management
- Clearing Process
- Settlement Process
- Investor Grievances and Arbitration
- Other Services Provided by Brokers

PRICE : ₹ 330
EDITION : 2018
PAGES : 172
ISBN : 9789388750790
Series-VIII

Certification Examination for Equity Derivatives

Syllabus Outline
- Basics of Derivatives
- Understanding Index
- Introduction to Forwards and Futures
- Introduction to Options
- Option Trading Strategies
- Introduction to Trading Systems
- Introduction to Clearing and Settlement System
- Legal and Regulatory Environment
- Accounting and Taxation
- Sales Practices and Investors Protection Services


Scan & Buy

Series-IX

Certification Examination for Merchant Banking

Syllabus Outline
- Introduction to the Capital Market
- Introduction to the Merchant Banking
- Registration, Code of Conduct & General Obligations of Merchant Bankers in India
- Issue Management – Important Terms
- Issue Management – Process and Underwriting
- Issue Management – General Obligations of Merchant Bankers and Due Diligence
- Other Merchant Banking Activities - Mergers, Acquisitions & Takeover
- Other Merchant Banking Activities - Disinvestment, Buyback of Equity Shares


Scan & Buy
Series X-A

Certification Examination for Investment Adviser (Level 1)

Syllabus Outline
- Introduction to Indian Financial Markets
- Securities Market Segments
- Mutual Funds
- Investment Products
- Managing Investment Risk
- Measuring Investment Returns
- Concept of Financial Planning
- Asset Allocation and Investment Strategies
- Insurance Planning
- Retirement Planning
- Tax and Estate Planning
- Regulatory Environment and Ethical Issues


Series X-B

Certification Examination for Investment Adviser (Level 2)

Syllabus Outline
- Understanding Securities Markets and Performance
- Knowing Operational Aspects of Financial Transactions
- Personal Financial Planning
- Comprehensive Financial Planning
- Product Analysis and Selection
- Regulatory and Compliance Aspects
- Case Studies in Comprehensive Financial Advice

Series XI

Certification Examination for
Equity Sales

Syllabus Outline
- Overview of Indian Securities Market
- Regulatory Framework
- Primary Market
- Secondary Market
- Understanding Market Indicators
- Trading and Risk Management
- Clearing and Settlement
- Market Surveillance
- Client Management


Series XII

Certification Examination for
Securities Markets
Foundation

Syllabus Outline
- Understanding Securities Markets and Performance
- Securities: Types, Features and Concepts
- Primary Markets
- Secondary Markets
- Mutual Funds
- Derivatives Markets
- Financial Planning and Securities Markets

Series XIII

Certification Examination for Common Derivatives

Syllabus Outline

- Basics of Derivatives
- Introduction to the Underlying Markets
- Introduction to Forwards and Futures
- Strategies using Futures
- Introduction to Options
- Option Trading Strategies
- Introduction to Trading, Clearing, Settlement & Risk Management
- Legal and Regulatory Environment
- Accounting and Taxation
- Sales Practices, Code of Conduct and Investor Protection Measures

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Series XIV

Certification Examination for Internal Auditors for Stock Brokers

Syllabus Outline

- Introduction to Internal Audit
- Financial System and Regulatory Framework
- SEBI Act, 1992, SCRA and SCRR
- SEBI (Prohibition of Insider Trading) Regulations, 2015
- Prevention of Money Laundering Act, 2002 (PMLA)
- SEBI (Stock Brokers and Sub-Brokers) Regulations, 1992
- Introduction to Stock Broking Operations
- Risk Management
- Clearing and Settlement Process
- Investor Grievance Redressal

Series XV

Certification Examination for Research Analyst

Syllabus Outline

- Introduction to Research Analyst Profession
- Introduction to Securities Market
- Terminology in Equity and Debt Markets
- Fundamentals of Research
- Economic Analysis
- Industry Analysis
- Company Analysis - Qualitative Dimensions
- Company Analysis – Quantitative Dimensions
- Corporate Actions
- Valuation Principles
- Fundamentals of Risk and Return
- Qualities of a good Research Report
- Legal and Regulatory Environment


Series XVII

Certification Examination for Retirement Adviser

Syllabus Outline

- Fundamental Concepts in Retirement Planning
- Financial markets and investment products
- Retirement Planning
- Retirement Planning Products : National Pension System
- Evaluating fund performance and fund selection
- Other Investment Products
- Retirement Planning Strategies
- Special Situations in Retirement
- Regulations and Regulators

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