

**NiSM** NATIONAL INSTITUTE OF  
SECURITIES MARKETS  
An Educational Initiative of SEBI

**TAXMANN®**  
Tax & Corporate Laws of INDIA



# NiSM

Certifications  
Examination Workbooks

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## ABOUT NISM

**N**ational Institute of Securities Markets (NISM) is an educational institution established by the Securities and Exchange Board of India (SEBI), the securities market regulator, in 2006. The Institute was established in pursuant to the Union Finance Minister's proposal, in his 2005-06 Budget Speech, to set up an institution 'for teaching and training intermediaries in the securities markets and promoting research'.

NISM is committed to its vision 'to lead, catalyze and deliver educational initiatives to enhance the quality of securities markets'. The Institute conducts a wide range of capacity building programmes in securities markets - from basic financial literacy to full-time post-graduation programmes. The Institute's six Schools of Excellence, viz., School for Certification of Intermediaries, School for Securities Education, School for Investor Education and Financial Literacy, School for Regulatory Studies and Supervision, School for Corporate Governance and School for Securities Information and Research upholds NISM's vision and works in synergy towards professionalizing the markets.

NISM is mandated by SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007 to conduct certification examinations and continuing professional education programs for associated persons engaged by an intermediary. NISM also conducts certification examinations for other regulators like IBBI and PFRDA. NISM's certifications establish a single market-wide knowledge benchmark for different functions in the Indian securities market and enable the associated persons to advance their knowledge and skills.

## ABOUT NISM CERTIFICATIONS

**T**he 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.



# FOREWORD

**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 2023, NISM has certified nearly 17 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.

**Dr. C.K G Nair**  
Director

## ABOUT TAXMANN®

Taxmann Alliance is the only publishing & product development company in India with complete backward and forward integration, right from the self-owned paper printing unit to in-house research and editorial team, and finally reaching the reader through its distribution network across India, along with a robust technology team that ensures delivery of the content in various digital formats.

### Our Vision

Our vision is to achieve perfection, skill and accuracy in everything that we do. What started as a small family business in 1972, Taxmann has become a technology-oriented Publishing/Product company with independent Research & Editorial, Production, Sales & Marketing, and Technology divisions. These four functions went on to become the backbone of Taxmann.

### Our Mission

*'Spearheading the pursuit of expertise and authenticity'*

Our mission at Taxmann is to provide the most authentic and fastest reporting of information. We are proud to call ourselves the #1 source for everything on Tax & Corporate Laws of India, with the domain knowledge of more than 60 years and trust given by more than 500k legal professionals across the country.

### Our Strength

Taxmann owes its success to its core strength – the Editorial and Research Division comprising of a highly motivated group of over 200 associates from the legal community (i.e., advocates, lawyers, chartered accountants, company secretaries) who monitor all the developments in the judicial, administrative and legislative fields and process the information with impeccable perfection, skill, and accuracy.

## NISM Certification Examinations

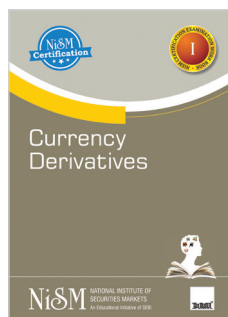
Sr. No	NISM Exam	Test Duration	Fees (Rs)	Maximum Marks	No. of Questions	Pass Mark (%)	Negative Marks (%)	Certificate Validity (in years)
1	NISM Series I: Currency Derivatives Certification Examination	2hrs	1500/-	100	100	60	25	3
2	NISM Series II A: Registrars and Transfer Agents (Corporate) Certification Examination	2hrs	1500/-	100	100	50	25	3
3	NISM Series II B: Registrars and Transfer Agents (Mutual Fund) Certification Examination	2hrs	1500/-	100	100	50	25	3
4	NISM Series-III-A: Securities Intermediaries Compliance (Non-Fund) Certification Examination	2hrs	1500/-	100	100	60	25	3
5	NISM Series IV: Interest Rates Derivatives Certification Examination	2hrs	1500/-	100	100	60	25	3
6	NISM Series V A: Mutual Fund Distributors Certification Examination	2hrs	1500/-	100	100	50	-	3
7	NISM-SeriesV-B: Mutual Fund Foundation Certification Examination	2hrs	1200/-	50	50	50	-	3
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To Register for the Examination, Please Visit

[www.nism.ac.in](http://www.nism.ac.in)

## Currency Derivatives



Author : NISM  
ISBN : 9789356224698  
Edition : Workbook Version-  
September 2022  
Pages : 308  
Binding : Paperback  
Price : Rs. 350

The book covers the basics of currency derivatives, trading strategies using currency futures and currency options, clearing, settlement and risk management, and the regulatory environment in which the currency derivatives markets operate in India.



## Registrars to an Issue and Share Transfer Agents – Corporate



Author : NISM  
ISBN : 9789356222328  
Edition : Workbook Version-  
November 2021  
Pages : 230  
Binding : Paperback  
Price : Rs. 260

Covering all important aspects of the Registrars and Transfer Agents (RTA) functioning in Corporates. These include the basic understanding of the Indian securities markets, the role and function of RTA in corporate securities issuance and transaction process, and the regulatory environment in which the RTAs operate in India.



## Registrars to an Issue and Share Transfer Agents - Mutual Funds



Author : NISM  
ISBN : 9789357781763  
Edition : Workbook Version-  
August 2022  
Pages : 228  
Binding : Paperback  
Price : Rs. 340

Covering all important aspects of the Registrar and Transfer Agents (RTA) functioning in Mutual Funds. These include the basic understanding of the Indian securities markets, the role and function of RTA in mutual fund issuance and transaction process, and the regulatory environment in which the RTAs operate in India.



## Securities Intermediaries Compliance (Non-Fund)



Author : NISM  
ISBN : 9789392211560  
Edition : Workbook Version-  
June 2021  
Pages : 506  
Binding : Paperback  
Price : Rs. 580

This book is a compendium of important regulations for the Compliance Officers working with various intermediaries in the securities markets. It aims at ensuring the Compliance Officers are aware of the different regulations that govern the securities market.





## Interest Rate Derivatives

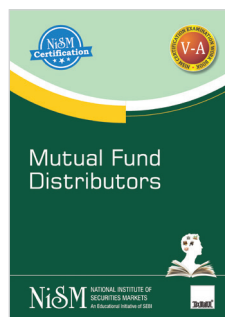


Author : NISM  
ISBN : 9789356223271  
Edition : Workbook Version-  
March 2022  
Pages : 364  
Binding : Paperback  
Price : Rs. 415

This book covers the basics of interest rate derivatives, trading strategies using interest rate derivatives, clearing, settlement and risk management, and the regulatory environment in which the interest rate derivatives markets operate in India.



## Mutual Fund Distributors



Author : NISM  
ISBN : 9789356223943  
Edition : Workbook Version-  
June 2022  
Pages : 440  
Binding : Paperback  
Price : Rs. 500

The book covers all important topics to enhance the quality of sales, distribution and related support services in the mutual fund industry. It covers the basics of mutual funds, their role and structure, different kinds of mutual fund schemes and their features, accounting, valuation and taxation aspects underlying mutual funds and their distribution.



## Mutual Fund Foundation

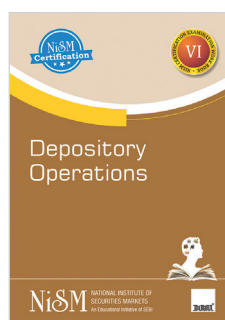


Author : NISM  
ISBN : 9789356220843  
Edition : Workbook Version-  
November 2021  
Pages : 318  
Binding : Paperback  
Price : Rs. 360

The book covers all important topics to enhance the quality of sales, distribution and related support services in the mutual fund industry. It covers topics related to the basics of mutual funds, their role and structure, different kinds of mutual fund schemes and their features, accounting, valuation and taxation aspects underlying mutual funds and their distribution.



## Depository Operations

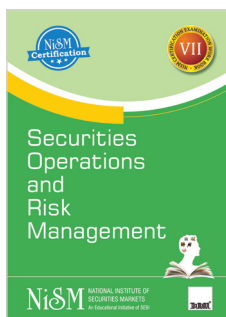


Author : NISM  
ISBN : 9789357781206  
Edition : Workbook Version-  
December 2022  
Pages : 280  
Binding : Paperback  
Price : Rs. 420

The book covers knowledge competencies related to the basics of depository operations, services provided by the depository participants, account opening formalities and maintenance of the account, and the regulatory framework in which the depositories function and the different business partners of a Depository.



## Securities Operations and Risk Management

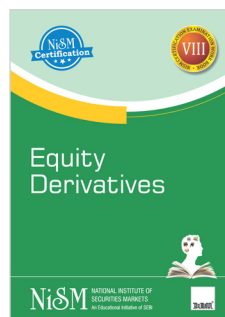


Author : NISM  
ISBN : 9789356224063  
Edition : Workbook Version- August 2022  
Pages : 264  
Binding : Paperback  
Price : Rs. 300

This book covers all essential aspects of stock broker operations, from client onboarding to the trade life cycle. It also includes compliance requirements related to report submission and redressal of investor grievances.



## Equity Derivatives



Author : NISM  
ISBN : 9789357782258  
Edition : Workbook Version- May 2023  
Pages : 244  
Binding : Paperback  
Price : Rs. 360

This book provides comprehensive insights into the intricacies of equity derivatives in the Indian market, elucidating various products, associated risks, and exchange mechanisms for clearing and settlement. It further enhances understanding of India's financial structure and the rules regulating the securities market, with a special focus on the equity derivatives segment.



## Merchant Banking



Author : NISM  
ISBN : 9789357781534  
Edition : Workbook Version- May 2023  
Pages : 286  
Binding : Paperback  
Price : Rs. 425

This book provides a basic understanding of various aspects of capital market functions, the processes involved in various functions of registered Merchant Bankers and the regulatory environment in which it operates.



## Investment Adviser Level 1

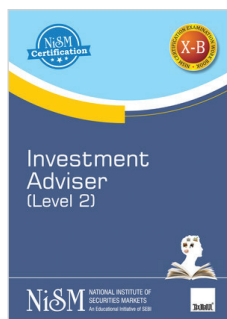


Author : NISM  
ISBN : 9789392211591  
Edition : Workbook Version- July 2021  
Pages : 534  
Binding : Paperback  
Price : Rs. 610

This book covers all important topics to enhance the quality of investment advisory and related services in the financial services industry. This book aims to create a common minimum knowledge benchmark for all associated individual investment advisers or principal officers of a non-individual investment adviser and persons associated with investment advice under SEBI (Investment Advisers) Regulations, 2013 and offering investment advisory services.



## Investment Adviser Level 2



Author : NISM  
ISBN : 9789392211461  
Edition : Workbook Version-  
July 2021  
Pages : 580  
Binding : Paperback  
Price : Rs. 665

This book covers all important topics to enhance the quality of investment advisory and related services in the financial services industry. It covers all important topics related to risk management, insurance, retirement & estate planning, taxation, behavioural finance, comprehensive investment advice, etc.



## Securities Markets Foundation



Author : NISM  
ISBN : 9789356222267  
Edition : Workbook Version-  
March 2022  
Pages : 266  
Binding : Paperback  
Price : Rs. 300

This book covers all important topics to impart the basic knowledge of Indian Securities markets and related Rules & Regulations. It also covers the processes involved in primary & secondary markets, financial planning process, etc.



## Research Analyst

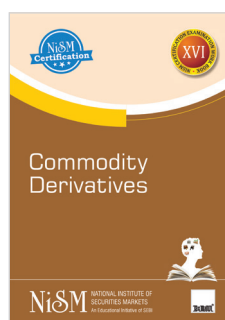


Author : NISM  
ISBN : 9789357782975  
Edition : Workbook Version-  
May 2023  
Pages : 344  
Binding : Paperback  
Price : Rs. 515

This book is a comprehensive guide covering vital topics for company research, including market basics, industry drivers, risk-return fundamentals, and economic analysis, designed.



## Commodity Derivatives



Author : NISM  
ISBN : 9789356224001  
Edition : Workbook Version-  
May 2022  
Pages : 248  
Binding : Paperback  
Price : Rs. 285

Covering basics of the commodity derivatives, commodity indices, commodity futures and commodity options, clearing, settlement and risk management, and the regulatory environment in which the commodity derivatives markets operate in India. It will benefit all those who want to understand better various derivatives products available in Indian commodity derivatives markets.



## Retirement Adviser



Author : NISM  
ISBN : 9789356224087  
Edition : Workbook Version- May 2022  
Pages : 340  
Binding : Paperback  
Price : Rs. 390

Retirement Adviser covers fundamental concepts about retirement planning, retirement planning products, retirement planning process & strategies, National Pension System. This book has been accredited by Pension Fund Regulatory and Development (PFRDA).



## Alternative Investment Funds (Category I and II) Distributors



Author : NISM  
ISBN : 9789356224124  
Edition : Workbook Version- May 2022  
Pages : 328  
Binding : Paperback  
Price : Rs. 375

Covering all important aspects of the Alternative Investment Funds (AIFs) in India, focusing on Category I and Category II AIFs. These include a basic understanding of the alternative asset classes, alternative investment funds in India, the role and functions of various stakeholders in the AIF domain, etc.



## Alternative Investment Funds (Category III) Distributors

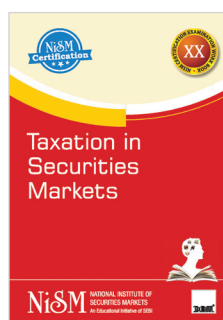


Author : NISM  
ISBN : 9789393880970  
Edition : Workbook Version- October 2021  
Pages : 388  
Binding : Paperback  
Price : Rs. 445

The book covers a basic understanding of the alternative asset classes, alternative investment funds in India, role and functions of various stakeholders in the AIF ecosystem (such as Sponsor, Investment Management Company, Distributors, Investors). The book also discusses, in-depth, about the Category III AIFs, its suitability and related regulations.



## Taxation in Securities Markets



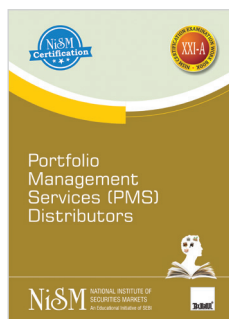
Author : NISM  
ISBN : 9789356223967  
Edition : Workbook Version- July 2022  
Pages : 504  
Binding : Paperback  
Price : Rs. 575

This book provides complete information about the Income-tax & GST implications of the securities market transactions, covering 30+ securities transactions. This book covers provisions applicable to traders/brokers & investors.





## Portfolio Management Services (PMS) Distributors



Author : NISM  
ISBN : 9789356223783  
Edition : Workbook Version-  
June 2022  
Pages : 274  
Binding : Paperback  
Price : Rs. 315

Covering the basics of investments, securities markets, etc., along with an understanding of the PMS process and discussion on the taxation, regulatory, governance, and ethical aspects of portfolio managers.



## Portfolio Managers

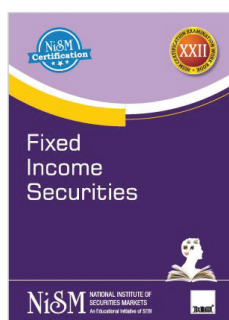


Author : NISM  
ISBN : 9789357782951  
Edition : Workbook Version-  
May 2023  
Pages : ???  
Binding : Paperback  
Price : Rs. 725

This comprehensive guide provides fundamental knowledge on investments and securities markets, introduces various asset classes, explains portfolio management roles and processes, explores behavioural finance and modern portfolio theories, and covers portfolio management's regulatory, taxation, and ethical aspects.



## Fixed Income Securities



Author : NISM  
ISBN : 9789392211775  
Edition : Workbook Version-  
May 2021  
Pages : 236  
Binding : Paperback  
Price : Rs. 275

Fixed Income Securities covers all important topics, including the basics of Indian debt markets, types of fixed income securities, pricing of bonds, yield measures, term structure of interest rates, risks associated with investing in Fixed Income Securities as well as the Money market, Government debt market and Corporate debt market in India.



## Social Auditors



Author : NISM  
ISBN : 9789356227354  
Edition : Workbook Version-  
December 2022  
Pages : 260  
Binding : Paperback  
Price : Rs. 390

This book is a joint publication by NISM & ICAI on various aspects of Social Stock Exchange and Social Auditing. It covers a wide range of topics such as Social Sector Organisations, Enterprises and Interventions, Social Audit, Social Audit Techniques, Social Audit Standards, and Social Impact Assessment and Reporting.



## CURATED COMBOS

### NISM'S SECURITIES MARKET COMBO



### NISM's Securities Market Combo

Intermediaries Compliance (Non-Fund) (III-A),  
Operations & Risk Management (VII),  
Foundation (XII), Taxation (XX) | Set of 4 Books

Author : NISM | An Educational Initiative of SEBI  
ISBN : 9789392211560, 9789356224063,  
9789356222267, 9789356223967  
Pages : 1540  
Binding : Paperback  
Edition : 2022  
Price : **Rs. 1755**

These books are prepared for the NISM (an Educational Initiative of SEBI) Certification Examination, exclusively published by Taxmann. This Combo covers Intermediaries Compliance (Non-Fund) (III-A), Operations & Risk Management (VII), Foundation (XII), Taxation (XX).

### NISM'S COMMON DERIVATIVES COMBO



### NISM's Common Derivatives Combo

Currency Derivatives (I), Interest Rate  
Derivatives (IV), Equity Derivatives (VIII) |  
Set of 3 Books

Author : NISM | An Educational Initiative of SEBI  
ISBN : 9789356224698, 9789356223271,  
9789356221598  
Pages : 910  
Binding : Paperback  
Edition : 2022  
Price : **Rs. 1035**

These books are prepared for the NISM (an Educational Initiative of SEBI) Certification Examination, exclusively published by Taxmann. This Combo covers Currency Derivatives (I), Interest Rate Derivatives (IV), and Equity Derivatives (VIII).

## CURATED COMBOs



### NISM's Alternative Investment Funds Combo

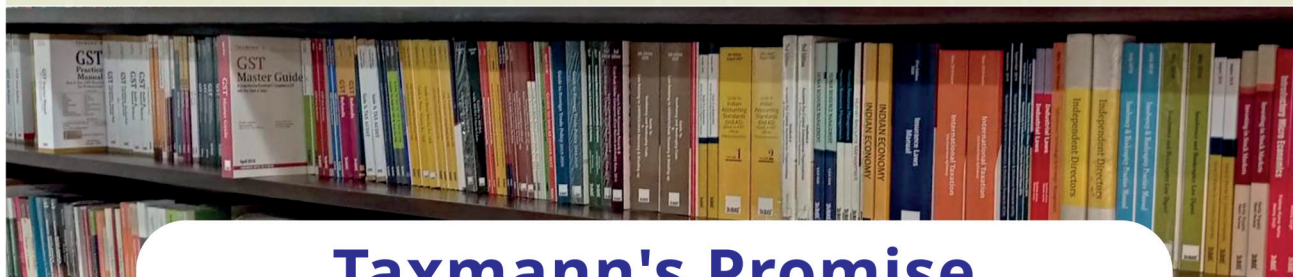
Category I & II (XIX-A),  
Category III Distributors (XIX-B) |  
Set of 2 Books

Author : NISM | An Educational Initiative of SEBI  
ISBN : 9789356224124,  
9789393880970  
Pages : 716  
Binding : Paperback  
Edition : 2022  
Price : **Rs. 820**

These books are prepared for the NISM (an Educational Initiative of SEBI) Certification Examination, exclusively published by Taxmann. This Combo covers Alternative Investment Funds (Category I and II) Distributors (XIX-A) and Alternative Investment Funds (Category III) Distributors (XIX-B)

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