



NISM-Series-VII: Securities Operations and Risk Management (SORM) Certification (Training)

NISM Certification Examination - Mandated By SEBI



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NISM-Series-VII: Securities Operations and Risk Management (Training)

Training : Online Live Interactive Sessions(On Zoom)

Duration : 18 Hours+

Faculty : 20 years+ Industry Experience



Study Materials:



- Self-Paced learning (recordings) access for 90 days
- PPTs (700+ Slides) & PDFs
- (800+ MCQs) with Solution
- Excel spreadsheets
- Career guidance/Counseling
- Quick revision summary.

Assessment Structure by NISM:

- 100 MCQs of 1 mark each
- Duration: 2 hours.
- Passing score: 50%.
- Negative marking: 25% of the marks assigned to a question.
- Certificate Validity: 3 years



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Disclaimer: The online training format, trainer, course duration, and study materials are subject to change without prior notice.



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Key Highlights:



**Online Live Interactive
sessions+ Online Self-
paced**



Duration: 16+ hours



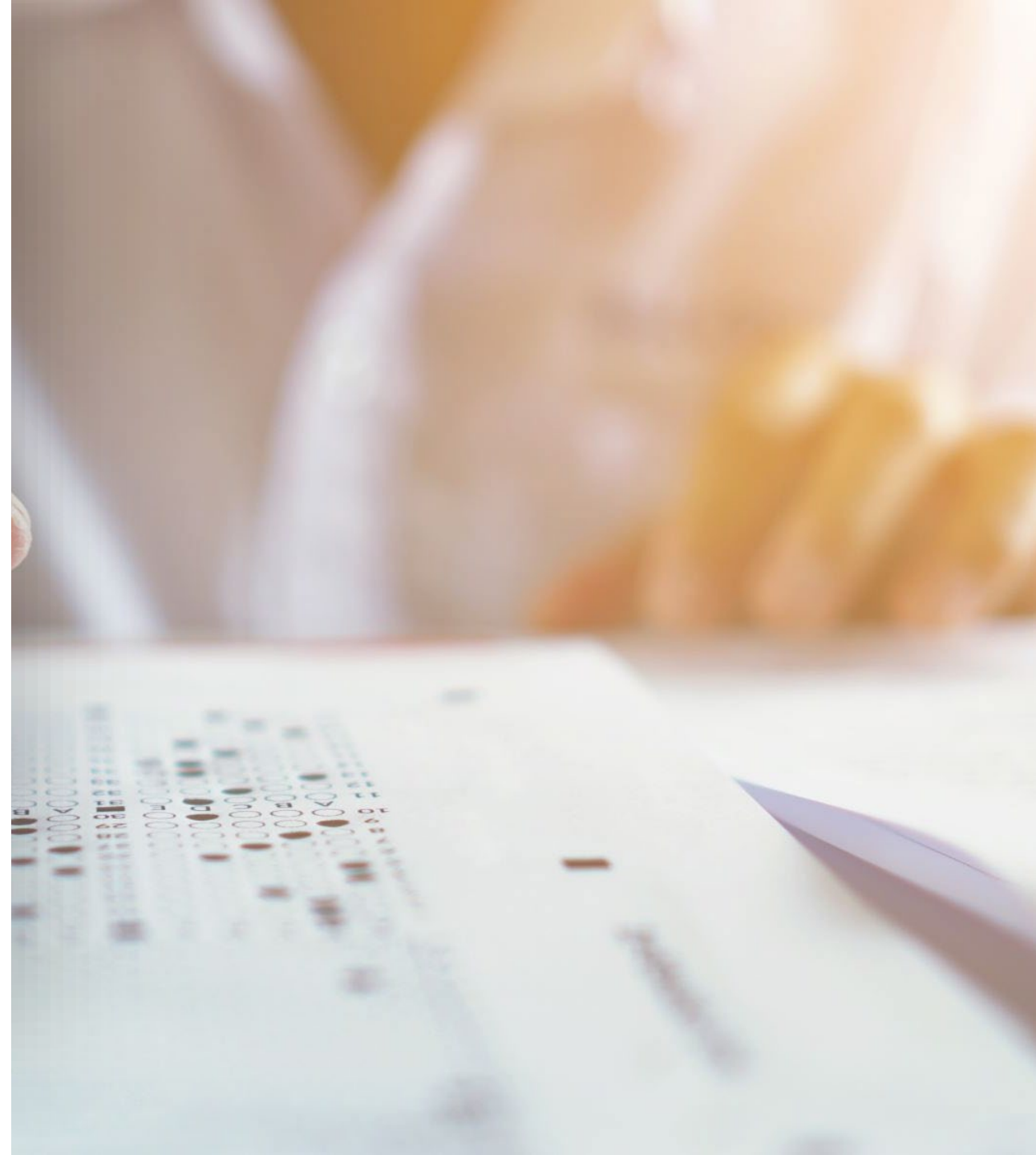
**Faculty: 20+ years of
industry experience**

Curriculum overview:

- **Securities Market Overview:**
 - Role in Indian economy, market structures, money markets, and traded products.
- **Market Participants:**
 - Investors, issuers, intermediaries, regulators, and regulatory framework.
- **Broking Operations:**
 - Trade life cycle, client onboarding, KYC, order management, risk management, surveillance and back-office functions.
- **Risk Management:**
 - Capital adequacy, client account controls, margin requirements, and regulatory reporting.
- **Clearing Process:**
 - Roles of clearing agencies, banks, custodians, depositories, and trading participants.
- **Settlement Process:**
 - Settlement cycle, internet trading, fund/securities settlement, corporate actions, and auctions.
- **Investor Grievances:**
 - Redressal procedures, arbitration, and appellate arbitration.

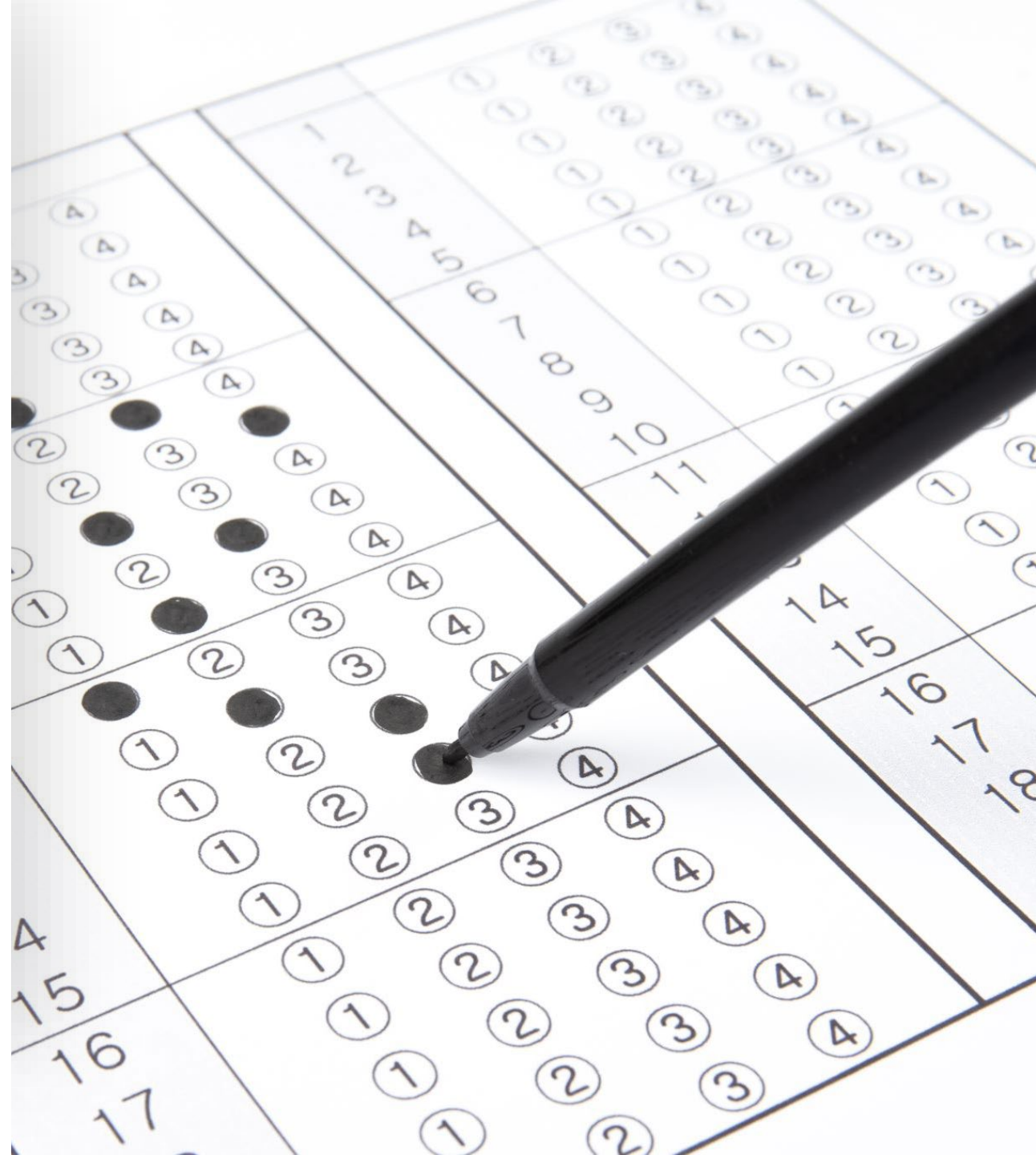
Study Materials:

- Recording available of online live sessions (for 90 days)
- PPTs (700+ slides), PDFs & Excel spreadsheets.
- 800+ MCQs with explanation
- Quick revision summary notes.
- Career Guidance/Counseling



Assessment Details:

- 100 Multiple Choice Questions: 1 mark each
- Total Marks: 100
- Duration: 2 Hours
- Passing Score: 50%
- Negative Marking: 25% of marks assigned per incorrect answer
- Certificate Validity: 3 years



Upon successful completion of the training, candidates will;

- Understand the Basics of the Indian Securities Market: Grasp the products traded and roles of various market participants.
- Familiarize with Regulatory Frameworks: Comprehend the role of SEBI in overseeing securities markets.
- Master Broking Firm Operations: Learn the functions of the front, middle, and back offices.
- Learn the Trade Life Cycle: Understand the steps, participants, and back-office roles in securities trading.
- Manage Risks Effectively: Acquire knowledge about risk management and clearing and settlement processes.
- Address Investor Grievances: Understand processes for grievance redressal and arbitration.

Are you eligible ?

Associated Persons:

- Employees or partners of registered stock-brokers, trading members, or clearing members in recognized stock exchanges.
- Professionals managing assets or funds of investors/clients, handling investor grievances, or overseeing risk management and compliance activities.

Interested Individuals:

- Students (10th, 12th, undergraduate, postgraduate) aspiring to enter the securities operations or risk management field.
- Professionals looking to specialize in securities operations and risk management.
- Financial advisors and portfolio managers seeking to deepen their expertise.
- Individuals aiming to understand securities market operations and risk mitigation strategies.



About NISM:

- NISM is a public trust established in 2006 by SEBI to enhance standards in India's securities markets.
- It undertakes wide-ranging capacity-building activities for market participants.
- Programmes include residential PG courses, short-term training, and faculty development.
- NISM offers 29 SEBI-mandated and voluntary certifications through 250+ test centers nationwide.
- It manages six schools of excellence for specialized training.
- NISM is expanding globally to become a premier financial education hub.

About ICAPITAL Academy:

- ❖ ICAPITAL Academy & Corporate Advisory LLP, established in October 2020, is a premier institution in financial education and advisory.
- ❖ Specializes in NISM certification preparation, capital markets training, and applied finance programs. Offers industry-relevant courses in Financial Modeling, Equity Research, Derivatives, Forex, Technical & Fundamental Analysis, and Mutual Funds.
- ❖ Provides self-paced, live online, and classroom-based learning formats for diverse learner needs. Delivers corporate training solutions focused on workforce upskilling, leadership development, and customized financial competency programs.
- ❖ Advisory services span financial research, personal finance, project finance, loan syndication, debt restructuring, and strategic corporate planning.
- ❖ Mission: To foster global financial excellence through quality education and professional empowerment.



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