



NISM-Series-XXI-A: Portfolio Management Services (PMS) Distribution Certification

Mode of Delivery: Online Live Interactive + Online Self-paced Learning*

Duration :- 24 Hours

Study Materials :

- Recording available of online live sessions (for 90 days)
- PPTs (700+ slides) & Excel sheets.
- 800+ MCQs & 15+ Case studies with explanation
- Quick revision summary note
- Career Guidance/Counseling

The NISM-Series-XXI-A: Portfolio Management Services (PMS) Distributors Certification Examination is a mandatory qualification for professionals involved in distributing PMS

The certification is designed to establish a standardized knowledge benchmark for PMS distributors, ensuring high-quality distribution practices and enhanced investor support within the portfolio management domain.

Upon successful completion of the training, candidates will:

- **Develop a Strong Foundation in Investments:**
Gain an understanding of the basic concepts of investments, securities markets, & key financial instruments, including stocks, bonds, mutual funds, and derivatives.
- **Master Portfolio Management Services (PMS):**
Learn about the operational aspects of PMS, the responsibilities of portfolio managers, and the process of managing and evaluating investment portfolios to meet diverse client needs.
- **Understand Risk and Performance Measurement:**
Acquire skills in asset allocation, risk-return trade-offs, performance benchmarking, and advanced evaluation metrics to assess the effectiveness of portfolio strategies.
- **Gain Insights into Taxation and Regulations:**
Become familiar with taxation aspects related to portfolio management, along with regulatory frameworks, ethical standards, and governance requirements for PMS distributors and managers.

Assessment Details:

- 100 Multiple Choice Questions
 - o 80 multiple-choice questions of 1 mark each (80 marks).
 - o 3 case-based questions having 15 multiple-choice sub-questions (20 marks).
- Total Marks: 100
- Duration: 2 Hours
- Passing Score: 60%
- Negative Marking: 25% of marks assigned per incorrect answer
- Certificate Validity: 3 years

*** Online Self-paced contents access will be provided for 90 days to the Register Candidates only.**

ICAPITAL ACADEMY & CORPORATE ADVISORY LLP :

The Institute is Leading Excellence in Financial Education and Advisory Services

Since its establishment in October 2020, **ICAPITAL Academy** has become a premier institution in financial education and professional advisory services. We specialize in delivering NISM certification programs and Financial Market training through versatile formats, including online, self-paced, and classroom courses, tailored to diverse learning preferences and professional aspirations

Our comprehensive educational offerings span finance, securities markets, and allied domains, providing participants with a robust understanding of the financial ecosystem. Through our coaching centers and innovative learning platforms, we deliver a holistic educational experience, empowering individuals with the skills and insights to succeed in competitive financial landscapes.

ICAPITAL Academy also excels in corporate training and human resource development, designing bespoke programs that enhance workforce competency & organizational growth. Our services aim to equip teams with the tools needed that enhance workforce competency to navigate complex financial markets confidently

In advisory services, we are recognized for our expertise in financial research, project finance, personal finance, and loan syndication. Acting as a critical bridge between clients and financial institutions, we assist in marketing financial products, managing project appraisals, and facilitating structured debt syndication. Additionally we provide strategic guidance on debt restructuring and corporate financial planning fostering sustainable success for our clients.

Expanding both domestically and globally, **ICAPITAL Academy** aims to become a leader in financial knowledge dissemination. Our specialized job-oriented courses, covering areas such as Financial Modeling, Stock Market, Derivatives, Forex, Technical Fundamental Analysis, and Mutual Funds are meticulously designed to prepare and participants for industry demands.

At **ICAPITAL Academy**, we prioritize quality education delivered by industry experts, enabling informed investment decisions and professional excellence. Our commitment to innovation and expertise positions us as a catalyst for growth in the ever-evolving financial world.

About NISM :

The National Institute of Securities Markets (NISM), established by SEBI in 2006 enhances securities market standards through capacity building initiatives. It offers 29 SEBI-mandated and voluntary certifications across 250+ test centers and manages six schools of excellence.

NISM Certification

Under SEBI regulations, NISM provides:

- Mandatory certification for securities market intermediaries.
- Continuing Professional Education (CPE) for certificate renewal.

Certificates are valid for three years and can be renewed by passing the relevant exam or completing a one-day CPE program within 12 months of expiry.



Test Objectives :

Upon passing the examination, candidates will:

- **Develop a Strong Foundation in Investments:**

Gain an understanding of the basic concepts of investments, securities markets, and key financial instruments, including stocks, bonds, mutual funds, & derivatives.

- **Master Portfolio Management Services (PMS):**

Learn about the operational aspects of PMS, the responsibilities of portfolio managers, and the process of managing and evaluating investment portfolios to meet diverse client needs.

- **Understand Risk and Performance Measurement:**

Acquire skills in asset allocation, risk-return trade-offs, performance benchmarking, and advanced evaluation metrics to assess the effectiveness of portfolio strategies.

- **Gain Insights into Taxation and Regulations:**

Become familiar with taxation aspects related to portfolio management, along with regulatory frameworks, ethical standards, and governance requirements for PMS distributors and managers.

Course Details:

- **Duration: 24 Hours**

- NISM exam registration fees not included in the above mention Course Fee.
- PPTs (700+ Slides), 800+ MCQs and 15+ Case Studies for practice (mock exams & mock paper shared for self-practice).
- Sessions would cover doubt solving from the Mock Exams.
- Online Interactive Session for the practice on software's required in particular module

Eligibility :

The NISM-Series-XXI-A: Portfolio Management Services (PMS) Distributors Certification Examination is suitable for:

Associated Professionals:

- Distributors and advisors working with portfolio management services.
- Employees of SEBI-registered entities involved in PMS distribution & compliance activities.
- Professionals responsible for client onboarding, fund evaluation, & investor portfolio administration in the PMS domain.

Aspiring Individuals:

- Undergraduate or postgraduate students with an interest in portfolio management & financial markets.
- Wealth managers, financial advisors, & portfolio analysts seeking to enhance their expertise in PMS distribution.
- Professionals aiming to deepen their understanding of taxation, regulatory compliance, and performance evaluation in the portfolio management industry.

Curriculum Overview:

NISM-Series-XXI-A: Portfolio Management Services (PMS) Distributors Certification

Unit I: Investment Landscape

- Understand the objectives and channels of investments, along with the distinction between investment and speculation.

Unit II: Introduction to Securities Markets

- Learn about the structure of securities markets, market participants, and the activities within primary and secondary markets.

Unit III: Investing in Stocks

- Explore the risks and rewards of equity investments, stock selection strategies, and corporate governance principles.

Unit IV: Investing in Fixed Income Securities

- Develop skills to analyze and value bonds, understand their characteristics, and assess price volatility

Unit V: Derivatives

- Understand the purpose, types, and underlying concepts of derivatives, including commodity and currency futures and options

Unit VI: Mutual Funds

- Gain insights into mutual fund operations, performance measures, SEBI regulations, and the benefits of investing through mutual funds.

Unit VII: Role of Portfolio Managers

- Learn about the responsibilities and organizational structure of portfolio managers, and the types of PMS offered in India.

Unit VIII: Operational Aspects of Portfolio Managers

- Study client onboarding, disclosure norms, investment costs, grievance redressal, and regulatory reporting.

Unit IX: Portfolio Management Process

- Understand strategic & tactical asset allocation, portfolio rebalancing, & the correlation across asset classes.

Unit X: Performance Measurement and Evaluation

- Learn advanced techniques in risk-return metrics, benchmarking, peer analysis, and the Global Investment Performance Standards (GIPS).

Unit XI: Taxation

- Study the taxation of income streams and investors in PMS, along with implications of Section 9A of the Income Tax Act.

Unit XII: Regulatory, Governance, and Ethical Aspects

- Understand key SEBI regulations, governance practices, & ethical principles applicable to portfolio managers and PMS distributors.



Faculty/Trainer[∞]:

Mr. Amit Gupta

MS Finance, MMS Finance (NIT), MBA Project Mgmt(SMU), CCRA™, AIM®, BE(Electrical, Govt. College), Passed CFP & CWM, Dip T&D (ISTD, New Delhi).

Amit is a seasoned financial professional with over 20 years+ of expertise in the Indian capital markets, specializing in Equity Research, Financial Modeling, Stock Trading & Risk Management, Business, Wealth management, and Investment Advisory. Renowned for a strong track record of excellence, he has delivered impactful results across diverse financial domains. He worked as the **Principal Officer** at a leading Portfolio Management Services (PMS) firm in Mumbai he combines industry expertise with academic rigor. He worked in middle management positions with leading corporates like ICICI Securities Ltd, ISE India, Financial Technologies (I) Ltd, and Standard Chartered Securities Ltd. Defining, executing and delivering the analytical solution to business problems.

He brings extensive teaching experience, conducting courses in financial modeling, valuation, corporate finance, fundamental analysis, and portfolio management. With a robust academic foundation, he holds advanced certifications, including an MS in Finance (CFA Charter holder pathway, ICFAI), MMS in Finance (NIT), CCRA™, AIM®, and a Bachelor of Engineering in Electrical Engineering from MBM Er. College (govt.) Jodhpur. He passed CFP, CWM certification examination. He holds Post Graduate Diploma in Training and Development (ISTD, New Delhi)

[∞] : A trainer for a specific training course may be changed without prior notice.

Registration & Fee Payment:

- Name of Module: NISM-Series-XXI-A: Portfolio Management Services (PMS) Distributors Certification
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- For more information please ☎ +91 9967813782, +91 9004459173
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- 📞 <https://wa.me/+919967813782>

Payment:

(1) Scan the QR Code:

(2) Transfer to a bank account:

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HDFC Current Account No. 50200054026244

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Refund Policy

- Registration Fees paid by the candidate shall not be refunded under any circumstances after the classes have commenced.
- In case the registered candidate wishes to cancel the registration for the program, the candidate shall intimate ICAPITAL Academy via a written request or Email within 3 working days prior to the commencement of the program. Once the request has been approved by ICAPITAL Academy the candidate will be refunded 90% of the total course fees paid for the respective program.
- ^ ICAPITAL Academy reserves the right to change or modify the class date/ time due to certain exigencies

Disclaimer

- The content provided in this program/course is for educational and informational purposes only. ICAPITAL Academy & Corporate Advisory LLP does not provide financial, legal, or investment advice. Participants are encouraged to consult qualified financial advisors before making any investment decisions.
- While all reasonable efforts have been made to ensure accuracy and completeness of the material, ICAPITAL Academy does not guarantee or warrant the reliability, accuracy, or completeness of the information presented. The program/course does not ensure success in examinations, certifications, or job placement.
- The financial markets are subject to risks, and past performance is not indicative of future results. Participants are responsible for their own investment and financial decisions.



Terms & Conditions

1. Enrollment and Fees

- o Enrollment is confirmed only upon receipt of the full course fee.
- o The course fee is non-refundable under any circumstances, except where explicitly stated.
- o NISM certification examination registration fees are not included in the course fee.

2. Course Access

- o Access to course materials (PPTs, recordings, mock exams, etc.) is provided for the duration of the program or as specified by ICAPITAL Academy.
- o Unauthorized sharing, reproduction, or distribution of course materials is strictly prohibited.

3. Participation

- o Participants must attend sessions regularly and adhere to the schedule.
- o **ICAPITAL Academy** reserves the right to reschedule or cancel sessions with prior notice.

4. Certification

- o Completion of this program/course does not guarantee passing the NISM certification exam. Participants must register independently for the exam through NISM.

5. Liability

- o **ICAPITAL Academy** is not liable for any direct, indirect, or incidental loss or damage resulting from reliance on the course material or participation in the program.
- o Participants acknowledge that the financial markets involve risks, and they are solely responsible for their investment decisions.

6. Code of Conduct

- o Participants are expected to maintain a professional demeanor during sessions. Any disruptive behavior may result in removal from the program without refund.

7. Amendments

- o **ICAPITAL Academy** reserves the right to update or modify the terms and conditions at any time. Participants will be notified of such changes.

8. ICAPITAL Academy Privacy Notice

- o ICAPITAL Academy respects your privacy. We may use your contact information, such as your name, address, and email id to fulfil your request and service your account and to provide you with additional information from ICAPITAL Academy For further information on ICAPITAL Academy's privacy policy please visit www.icapitalacademy.com



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