



**NISM Series-III-A: Securities Intermediaries Compliance
(Non-Fund) Certification**

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



Scan for Register

Duration :- 18 Hours+

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

Register Here :-  <https://hosturl.link/77dqVH>

The NISM-Series-III-A: Securities Intermediaries Compliance (Non-Fund) Certification Examination is designed to create a common minimum knowledge benchmark for professionals engaged in compliance functions across various intermediaries. This includes stock brokers, depositories, sub-brokers, merchant bankers, underwriters, bankers to the issue, debenture trustees, and credit rating agencies.

The examination aims to ensure a robust understanding of the compliance responsibilities within the financial system and securities markets.

Upon successful completion of the training, candidates will :

- **Comprehend Compliance Officers Role:** Understand the responsibilities of compliance officers within financial intermediaries.
- **Understand Financial Market Structure:** Learn about the financial system, intermediaries and securities products in India.
- **Master Regulatory Knowledge:** Grasp the role of regulators like SEBI and RBI and related legal frameworks.
- **Gain Intermediary-Specific Compliance Knowledge:** Acquire insights into compliance requirements for stock brokers, depositories, and other financial intermediaries.
- **Understand Legal and Penal Frameworks:** Learn the consequences of non-compliance and regulatory penalties.
- **Develop Compliance Reporting Skills:** Enhance the ability to document and report compliance activities accurately.

Assessment Details:

- 100 MCQs of 1 mark each
- 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 user 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 and 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, & 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:

- **Comprehend Compliance Officers Role:**
Understand the responsibilities of compliance officers within financial intermediaries.
- **Understand Financial Market Structure:**
Learn about the financial system, intermediaries, and securities products in India.
- **Master Regulatory Knowledge:**
Grasp the role of regulators like SEBI and RBI and related legal frameworks.
- **Gain Intermediary-Specific Compliance Knowledge:**
Acquire insights into compliance requirements for stock brokers, depositories, and other financial intermediaries.
- **Understand Legal and Penal Frameworks:**
Learn the consequences of non-compliance and regulatory penalties.
- **Develop Compliance Reporting Skills:**
Enhance the ability to document and report compliance activities accurately.

Course Details:

NISM exam registration fees not included in the above mention Course Fee.

- PDFs, PPTs (500+ Slides) and 400+ MCQ 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-III-A: Securities Intermediaries Compliance (Non-Fund) Certification is suitable for:

Associated Persons:

- Employees or partners working in compliance functions within financial intermediaries such as stock brokers, sub-brokers, merchant bankers, and underwriters.
- Professionals engaged in roles that require knowledge of the regulatory and compliance framework of financial markets.

Interested Individuals:

- Students (10th, 10+2, Undergraduates, Postgraduates) aiming for a career in securities market compliance.
- Professionals looking to specialize in securities market compliance and regulatory functions.
- Financial advisors and wealth managers seeking to enhance their expertise in compliance.
- Individuals seeking a comprehensive understanding of compliance in the financial and securities market.

Curriculum Overview:

Securities Intermediaries Compliance (Non-Fund) Certification

I. Understanding the Financial and Regulatory Structure in India

Gain an overview of the Indian financial system, market intermediaries, financial securities, and the regulatory framework.

II. Compliance and Regulatory Requirements

Mandatory and optional disclosures in mutual fund schemes.

III. Role of Compliance Officer

Understand the functions, responsibilities, and reporting structures of compliance officers in financial market intermediaries.

IV. Securities Market Regulations

Study the various market regulations like the SEBI (Prohibition of Insider Trading) and SEBI (Prohibition of Fraudulent and Unfair Trade Practices) Regulations.

V. Money Laundering Prevention and KYC

Understand the Prevention of Money Laundering Act, 2002, AML guidelines, and KYC requirements in the securities market.

VI. Intermediary Specific Regulations

Learn the regulations governing stock brokers, sub-brokers, merchant bankers, underwriters, debenture trustees, and credit rating agencies.

VII. Investor Protection and Ethics

Study investor protection laws, grievance redressal mechanisms, and ethical standards for market participants.

Faculty/Trainer∞:


Industry expert with over 20 years of rich experience and certified by NISM.

∞ Note: The designated trainer for a specific course may be subject to change without prior notice.


Registration & Fee Payment:

Name of Module: NISM-Series-III-A Securities Intermediaries Compliance (Non-Fund) Certification

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Payment:

(1) Scan the QR Code:

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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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