



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



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

Scan for Register

Durations: 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 examination seeks to create a common minimum knowledge benchmark for all persons engaged in compliance functions with any intermediary registered with SEBI as Mutual Funds Alternative Investment Funds, Real Estate Investment Trusts, and Infrastructure Investment Trusts. The certification aims to enhance the quality of services as rendered by those engaged in compliance activities. It also aims at ensuring that the compliance officers are aware of the different regulations that govern the Securities Market.

Upon successful completion of the training , candidates will:

- o Understand the financial structure in India; know the financial intermediaries and the types of products available in the Indian market.
- o Understand the regulatory framework and the role of the various regulators in the financial system.
- o Understand the importance of compliance activity and the scope and role of the compliance officer in the Indian securities market.
- o Understand the various regulations and rules of the Indian securities market.
- o Understand the importance of compliance with the rules and regulations and the penal actions initiated in case of any default or failure.

Assessment Details :-

- o 100 MCQs of 1 mark each
- o Duration: 2 hours
- o Passing score: 60%
- o Negative Marking: 25% of marks assigned per incorrect answer
- o 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 & 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 :

This examination is broadly categorized into two parts. Part 'A' is generic in the sense that it gives the candidates a sense of the Financial and Regulatory Structure in India, the different Regulations which the intermediaries should be aware of, and Part B specifically deals with the specific rules and regulations governing the Mutual Funds, Alternative Investment Funds Real Estate Investment Trusts, and Infrastructure Investment Trusts. On successful completion of the examination, the candidate should:

- o Understand the financial structure in India; know the financial intermediaries and the types of products available in the Indian market.
- o Understand the regulatory framework and the role of the various regulators in the financial system.
- o Understand the importance of compliance activity and the scope and role of the compliance officer in the Indian securities market.
- o Understand the various regulations and rules of the Indian securities market.
- o Understand the importance of compliance with the rules and regulations and the penal actions initiated in case of any default or failure.

Course Details:

- Duration: 18 Hours+
- o NISM exam registration fees not included in the above mention Course Fee.
- o PPTs (700+ Slides) and 800+ MCQ for practice (mock exams & mock paper shared for self-practice).
- o Sessions would cover doubt solving from the Mock Exams.
- o Online Interactive Session for the practice on software's required in particular module

Eligibility :

NISM Series-III-C: Securities Intermediaries Compliance (Fund) Certification

- o Professionals and traders operating in the Currency Derivatives market segment.
- o Individuals aspiring to build a career in financial markets with a focus on currency derivatives.
- o Students pursuing finance, economics, or related fields looking to enhance their market knowledge.
- o Brokers, sub-brokers, & employees of trading members involved in currency derivatives trading.
- o Anyone interested in gaining comprehensive knowledge of exchange-traded currency derivatives and their regulatory framework analysis.

Curriculum Overview:

Part A – Understanding the securities markets and the securities market's Regulatory Structure in India

- **Chapter 1: Introduction to the Financial System**
 - o Securities Market Intermediaries.
 - o Define and understand types of Securities.
- **Chapter 2: Regulatory Framework – General View**
 - o Securities Market Regulations in India.
 - o Financial Market Regulators and understand their role.
 - o Key Agencies in the Financial Market: ROC, EOW, FIU-I, NCLT, SFIO, and Police Authorities.
 - o Role of Appellate Authority –SAT.
 - o Legislative Framework- SEBI Act, SCRA, Depositories Act, Companies Act.
 - o Functions, Role, and Regulation of the International Financial Services Centre (IFSC)

- **Chapter 3: Introduction to Compliance**
 - o Compliance Function Overview.
 - o Roles, Responsibilities, and Reporting Structure.
 - o Governance and Fiduciary Duties in Compliance.
- **Chapter 4: SEBI Act, 1992**
 - o Overview of SEBI Act 1992.
- **Chapter 5: Securities Contracts (Regulation) Act, 1956 and Securities Contracts (Regulation) Rules, 1957**
 - o Key Sections of SCRA 1956.
- **Chapter 6: SEBI (Intermediaries) Regulations, 2008**
 - o Overview of SEBI (Intermediaries) Regulations.
 - o General Obligations of Intermediaries.
 - o Importance of the 'Fit and Proper' Criteria.
 - o Obligations of Intermediaries During Inspection.
 - o Dealing with Defaults and Suspension or Cancellation of Certificate.
 - o Code of Conduct for Intermediaries.
 - o Compliance Officer Duties under SEBI Intermediaries Regulations.
- **Chapter 7: SEBI (Prohibition of Insider Trading) Regulations, 2019**
 - o Applicability of SEBI Insider Trading Regulations 2019.
 - o Code of Conduct for Prevention of Insider Trading.
 - o Code of fair disclosure & Responsibilities of Compliance Officer under SEBI PIT Regulations.
- **Chapter 8: SEBI (Prohibition of Fraudulent and Unfair Trade Practices Relating to Securities Market) Regulations, 2003**
 - o Prohibition of Certain Dealings in Securities.
 - o Prohibitions on Manipulative, Fraudulent, and Unfair Trade Practices.
 - o Responsibilities of Compliance Officer under SEBI FUTP Regulations.
- **Chapter 9: Prevention of Money Laundering Act 2002**
 - o Role and Importance of Anti-Money Laundering Measures.
 - o Obligations Related to Anti-Money Laundering Guidelines.
 - o Overview of SEBI Circulars on AML/CFT.

- **Chapter 10: SEBI (KYC Registration Agency) Regulations, 2011**
 - o Overview of SEBI KYC Registration Agency Rules 2011.
 - o Obligations on Surrendering Certificate of Registration.
 - o Functions and Obligations of Fund Houses Regarding KRA and CKYC.
 - o KRA Obligations During SEBI Inspection.
 - o Guidelines for Intermediaries, KRAs & In-Person Verification.
 - o Understanding FATCA Guidelines.

- **Chapter 11: SEBI (Foreign Portfolio Investors) Regulations, 2019**
 - o Concept of Foreign Portfolio Investors (FPIs)
 - o General Obligations and Responsibilities.

- **Chapter 12: Foreign Exchange Management Act**
 - o Introduction to FEMA and Its Relation to Securities Markets in India.
 - o Foreign Direct Investment in India.
 - o Introduction to FEMA (Non-Debt) Rules.
 - o RBI Master Direction 2022.
 - o RBI Reporting Requirement.

- **Chapter 13: SEBI (Depositories) Act, 1996**
 - o SEBI (Depositories) Act, 1996.
 - o Overview of SEBI Guidelines for InvITs, REITs, and AIFs.
 - o SEBI Enquiry, Inspection, and Penalties.

Part B – Understanding Intermediary Specific Regulations

- **Chapter 14: SEBI (Mutual Fund) Regulations**
 - o Mutual Fund Structure and Key Features.
 - o Important Concepts and Terminologies.
 - o Role of stakeholders in a Mutual Fund.
 - o Schemes of Mutual Fund.
 - o Redemption and Reporting Redemptions.
 - o Investment Objectives of a Mutual Fund.
 - o Scheme Related Disclosure.
 - o Portfolio Disclosures.

- o Overview of Board and Committees.
- o Norms for Shareholding in Mutual Funds.
- o Stewardship Code – Public Listed Companies.
- o Risk Management Framework.
- o Overview of Mutual Fund Reports.
- o SEBI Prohibition of Insider Trading Regulations.
- o General Obligation and Investment Rights.
- o Certification and Registration of Intermediaries.

- **Chapter 15: SEBI (AIF) Regulations**

- o Introduction to SEBI AIF Regulations and Key Terminologies.
- o Classification of AIFs.
- o Investment Strategy.
- o Overview of Compliance and Obligations.
- o Special Types of Funds.
- o General Obligations, Responsibilities, and Transparency for All AIFs.
- o Other Relevant Topics.

- **Chapter 16: SEBI (InvIT) Regulations**

- o Introduction to Infrastructure Investment Trusts (InvITs).
- o Definition and Structure of InvITs (Including Regulation 7A).
- o Rights and Responsibilities of Trustees, Investment Managers, Project Managers, Sponsors, Valuers, and Auditors.
- o Fundraising and Issuance of Debt Securities by InvITs.
- o InvIT Units: Offer, Listing, and Delisting.
- o Overview of Borrowing Practices.
- o Valuation of Assets.
- o Investment Conditions and Dividend Policy.
- o Other Significant Matters.
- o Inspections Conducted by SEBI.

- **Chapter 17: SEBI (REITs) Regulation**

- o Overview of SEBI REIT Regulations, Structure, and Definitions.
- o Roles and Duties of Trustees, Managers, Sponsors, Valuers, and Auditors.
- o Fundraising and Issuance of Debt Securities by REIT.
- o REIT Units: Issue, Listing, and Delisting.



- o Overview of Borrowing Practices.
- o Valuation of Assets.
- o Investment Conditions and Dividend Policy.
- o Other Significant Matters.
- o Continuous Disclosures to Stock Exchanges.
- o Overview of Board Structure and Responsibilities.
- o Other important concepts related to REITs.
- o Inspections Conducted by SEBI.

Faculty Trainer: 

Industry expert with over 20 years of rich experience & 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-C: Securities Intermediaries Compliance (Fund) Certification
- Call us for an Individual and Customized Corporate Training
- For more information please +91 9967813782, +91 9004459173
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Payment:

(1) Scan the QR Code:

(2) Transfer to a bank account:

ICAPITAL ACADEMY AND CORPORATE ADVISORY LLP

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HDFC Current Account No. 50200054026244

IFSC- HDFC0000540

Branch: HDFC Bank, Sector-17, Vashi, Navi Mumbai



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. 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.
- o I understand and agree, I should use the same email id and mobile number throughout the course run.

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 & 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 & 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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