



**NISM-Series-XII:**

**Securities Markets Foundation Certification**



Scan for Register

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

Durations: 15 Hours+

## Study Materials :

- ✓ Recording available of online live sessions (for 90 days)
- ✓ PPTs (500+ slides), PDFs & Excel spreadsheets.
- ✓ 500+ MCQs with explanation
- ✓ Quick revision summary notes.
- ✓ Career Guidance/Counseling

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

This examination is a voluntary examination.

The NISM-Series-XII: Securities Markets Foundation Certification Examination is for entry-level professionals, who wish to make a career in the securities markets. This NISM series examination will also be useful to all those individuals who are interested in acquiring a basic knowledge of the Indian Securities markets, including:

- Entry-level professionals in the securities markets
- Employees of intermediaries functioning in the securities industry
- Professionals in other industries interested in gaining knowledge of the securities markets
- Students
- Homemakers
- Teachers

The purpose of this exam is to impart the basic knowledge of the Indian securities markets to the participants and related rules and regulations.

## **Upon successful completion of the training , candidates will:**

- Know the basics of the Indian Securities Markets.
- Know the various processes involved in Primary and Secondary Markets
- Understand the schemes and products in Mutual Funds and Derivatives Markets in India.
- Know the steps in financial planning process.

## **Assessment Details :-**

- o 100 MCQs of 1 mark each
- o Duration: 2 hours
- o Passing score: 60%
- o No Negative Marking
- 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.

## Assessment Structure:

The examination consists of 100 questions of 1 mark each and should be completed in 2 hours. The passing score for the examination is 60%. There shall be no negative marking.

## For whom is this examination mandated?

NISM-Series-XII: Securities Markets Foundation Certification Examination is for entry level professionals, who wish to make a career in the securities markets. This certification examination will also be useful to all those individuals who are interested in acquiring a basic knowledge of the Indian Securities markets.

## Course Details:

- o Duration: 15 Hours+
- o NISM exam registration fees not included in the above mention Course Fee.
- o PPTs (500+ Slides) and 500+ 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

## **Curriculum Overview:**

### **Understanding Securities Markets and Performance**

- A. Securities Markets
- B. Securities
- C. Securities Markets: Structure and Participants
- D. Role of Securities Markets
- E. Technological advancements in the securities market

### **II: Securities: Types, Features and Concepts of Asset Allocation and Investing**

- A. Securities available in the securities market
- B. Choice between Equity and Debt Financing for Issuers
- C. Characteristics and role of equity capital
- D. Characteristics and role of Debt securities
- E. Choosing between Debt and Equity Investment Avenues
- F. Hybrid Instruments
- G. Characteristics and role of Commodities as an asset class
- H. Derivatives as investments
- I. Asset Allocation and Diversification
- J. Understanding the factors underlying the investment process
- K. Various aspects of investing in Equity
- L. Equity Investing Process
- M. Various aspects of investing in Debt securities
- N. Debt Investing Process

### **III: Primary Markets**

- A. Primary Market: Definition and Functions
- B. Primary Vs Secondary Markets
- C. Intermediaries in Primary Market
- D. Types of Issues
- E. Types of Issuers
- F. Types of Investors
- G. Regulatory Framework for Primary Markets
- H. Types of Public Issue of Equity Shares
- I. Pricing a Public Issue of Shares
- J. Public Issue Process of equities
- K. Prospectus
- L. Applying to a Public Issue

- M. Listing of Shares
- N. Rights Issue of Shares
- O. Regulatory requirements for a Public Issue of Debt Securities
- P. Public issue process for debt securities
- Q. Private Placements in Equity and Debt

#### **IV: Secondary Markets**

- A. Role and Function of the Secondary Market
- B. Types of secondary markets for different securities
- C. Market Structure and Participants
- D. Brokers and Client Acquisition
- E. Trade Execution
- F. Clearing and Settlement of Trades
- G. Trading and settlement process from investor's point of view
- H. Market Information and Regulation
- I. Risk Management Systems
- J. Rights, Obligations and Grievance Redressal
- K. Secondary market trading and reporting for debt securities

#### **V: Mutual Funds**

- A. Meaning and Description of a Mutual Fund
- B. Terms and Concepts Related to Mutual Funds
- C. Types of Open-ended Mutual Fund Products
- D. Types of Closed ended Mutual Fund Schemes
- E. Investment approaches – active and passive
- F. Processes for Investing in Mutual Funds
- G. Systematic Transactions
- H. Switches
- I. Reading Mutual Fund Information
- J. Benefits and Costs of Investing in Mutual Funds
- K. Regulation of Mutual Funds
- L. Investor Service Standards
- M. Specialized Investment Fund

## VI: Derivatives Markets

- A. Derivatives
- B. Underlying concepts in Derivatives
- C. Types of Derivative Products
- D. Structure of Derivative Markets
- E. Trading and Settlement Process: Equity Futures
- F. Risk Management in Derivative Markets
- G. Application of Derivatives Products in Risk Management
- H. Market Indicators

### 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-XII: Securities Markets Foundation Certification
- Call us for an Individual and Customized Corporate Training
- For more information please  +91 9967813782, +91 9004459173
-  training@icapitalacademy.com, icapitalacademy20@gmail.com
-  <https://wa.me/+919967813782>

### Payment:

(1) Scan the QR Code:

(2) Transfer to a bank account:

**ICAPITAL ACADEMY AND CORPORATE ADVISORY LLP**

GSTIN- 27AAIF13809D1ZJ

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](http://www.icapitalacademy.com)



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