NISM-Series-XXV-A:
Persons Associated with Research Services
(Sales and Other Non-Core Services) 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 (500+ slides), PDFs & Excel spreadsheets.
- 500+ MCQs with explanation
- Quick revision summary notes.
- Career Guidance/Counselling

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

This examination seeks to create a common minimum knowledge benchmark for the persons associated with research services, defined under Regulation 2(ne) of the SEBI (Research Analysts) Regulations, 2014. The Examination only caters to Persons Associated with Research Services who perform sales and other non-core services.

Upon successful completion of the training , candidates will:

- Know the regulatory framework governing research services under the SEBI (Research Analysts) Regulations, 2014;
- Understand the ethical standards, compliance requirements, and conduct obligations applicable to research services;
- Understand the roles, responsibilities, and permitted activities of Persons Associated with Research Services, particularly in sales and other non-core functions;
- Know the importance of regulatory compliance, investor protection, and confidentiality in research-related activities.

Assessment Details :-

- Maximum Marks: 50
- 50 MCQs of 1 mark each
- Duration: 1 hour
- Passing score: 50%
- Passing Marks: 25
- Negative Marking: NIL
- 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, coveringareas 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.

Course Details:

- Duration: 18 Hours+
  - NISM exam registration fees are not included in the above-mentioned Course Fee.
  - PPTs (500+ Slides) and 500+ 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 the software required for the particular module

Curriculum Overview:

Session 1: Introduction to Research Analysis Profession and Securities Markets.

A. Overview of research services.

B. Definition of research analysts.

C. Define PARS and explain its role in supporting analysts, including client query handling and data-related assistance.

D. Overview of the Indian securities market, including equity, debt, derivatives, and market participants.

E. Key market terminologies and structure, including exchanges and regulators such as SEBI

F. Basic PARS communication skills for explaining market overviews to clients

Session 2: Fundamentals of Research, Market Terminologies and Market Analysis.

A. Overview of data sources and basic tools used for research support.

B. Key economic indicators—GDP, inflation, and interest rates—and their impact on markets.

C. Understanding how economic trends influence industry and company performance.

D. PARS skills for interpreting basic research terminology to support client explanations and prevent miscommunication.

Session 3: Risk and Return Fundamentals.

A. Concepts of systematic and unsystematic risk, along with return metrics.

B. Fundamentals of portfolio management and diversification.

C. PARS skills for interpreting risk disclosures during client discussions and ensuring accurate information communication.

Session 4: Research Reporting, Ethics, and Regulatory Environment.

A. Key qualities of an effective research report: clarity, objectivity, and compliance with disclosure requirements.

B. Legal framework, including SEBI (Research Analysts) Regulations and insider trading rules.

C. Ethical principles: addressing conflicts of interest and ensuring confidentiality in client interactions.

D. KYC compliance and associated requirements.

E. PARS skills for ethically managing client complaints and maintaining compliance records.

Session 5: Client Interaction and Relationship Skills.

A. Communication and presentation skills, including clear verbal & written communication and presenting research summaries to clients.

B. Negotiation and objection-handling skills, including addressing client concerns and managing information requests without overcommitting.

C. Relationship management and networking skills, including building long-term client trust and leveraging networks for referrals and insights.

D. Crisis management skills, including handling urgent client issues and de-escalating conflicts arising from market volatility or research discrepancies.

E. Behavioral finance and bias recognition, including identifying client biases (e.g., overconfidence, loss aversion) and guiding discussions objectively.

F. Code of Conduct and Compliance: Understanding RA Regulations, including terms and conditions, MITC, maintenance of required records, and handling investor grievances.

G. PARS skills: Applying these regulations and practices in daily client interactions to ensure compliance and enhance client satisfaction.

Session 6: Professional Efficiency, Development, and Tools.

A. Day Planning and Time Management: Prioritize tasks and schedule client calls and research support activities efficiently.

B. Professional Development and Continuous Learning: Stay updated on market trends, pursue certifications, and conduct self-assessment.

C. Ethics and Compliance: Reinforce regulatory adherence in tool usage, maintain data privacy, and make ethical decisions in daily operations.

D. PARS Skills: Integrate tools into workflows to provide efficient client service and support personal career growth.

Faculty Trainer: Linkedin

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 NISM-Series-XXV-A: Persons Associated with Research Services (Sales and Other Non-Core Services) Certification
- Call us for an Individual and Customized Corporate Training
- For more information please +91 9967813782, +91 9004459173
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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

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

2. Course Access

- 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

- Participants must attend sessions regularly and adhere to the schedule.
- ICAPITAL Academy reserves the right to reschedule or cancel sessions with prior notice.
- I understand and agree, I should use the same email id and mobile number throughout the course run.

4. Certification

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

5. Liability

- **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.
- Participants acknowledge that the financial markets involve risks & they are solely responsible for their investment decisions.

6. Code of Conduct

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

7. Amendments

- 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

- 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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