



NISM-Series-VI: Depository Operations Certification

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

Duration :- 20 Hours

Study Materials :

- Recording available of online live sessions (for 90 days)
- PPTs (500+ Slides)
- 700+ MCQs
- Quick revision summary.
- Career Guidance/Counseling

The NISM-Series-VI: Depository Operations Certification Examination establishes a foundational knowledge benchmark for associated persons employed by registered depository participants. This certification ensures proficiency in handling operations within the depository system and aims to enhance the quality of services provided by Depository Participants (DPs).

Upon successful completion of the training, candidates will :

Comprehend the Role of Depository Participants:

- Understand the responsibilities and operational functions of Depository Participants within the depository system.

Understand the Regulatory Framework:

- Gain knowledge of SEBI regulations, legal frameworks, and operational guidelines for depositories and DPs.

Master Depository Functions:

- Learn core functions such as dematerialization, trading, settlement, and pledge /hypothecation operations.

Know Account Management Processes:

- Understand account opening, maintenance, and closure processes, including POA requirements and client updates.

Familiarize with Special Services:

- Acquire insights into corporate actions, debt instruments, and foreign portfolio investor operations.

Enhance Compliance and Reporting Skills:

- Develop the ability to handle investor grievances and ensure adherence to regulatory & ethical standards.

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 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 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 the Role of Depository Participants:
Understand the responsibilities and operational functions of Depository Participants within the depository system.
- Understand the Regulatory Framework:
Gain knowledge of SEBI regulations, legal frameworks, and operational guidelines for depositories and DPs.
- Master Depository Functions:
Learn core functions such as dematerialization, trading, settlement & pledge/ hypothecation operations.
- Know Account Management Processes:
Understand account opening, maintenance, and closure processes, including POA requirements and client updates.
- Familiarize with Special Services:
Acquire insights into corporate actions, debt instruments, and foreign portfolio investor operations.
- Enhance Compliance and Reporting Skills:
Develop the ability to handle investor grievances and ensure adherence to regulatory and ethical standards.

Course Details:

- NISM exam registration fees not included in the above mention Course Fee.
- PPTs (500+ Slides) and 700+ 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-VI: Depository Operations Certification Examination is suitable for:

- **Associated Persons:**

- Employees or partners working with depository participants in client interactions, securities handling, investor grievance redressal, risk management, & related operations.

- **Interested Individuals**

- Students (10th, 10+2, Under Graduates, Postgraduates) pursuing careers in finance and securities markets.
- Financial advisors and wealth managers seeking specialized knowledge in depository operations.
- Professionals aiming to deepen their understanding of the Indian securities market and its operational intricacies.

Curriculum Overview:

Depository Operations Certification

I. Introduction to the Capital Market

- Understand the Indian capital market, its structure, participants, and regulatory framework. Learn about the roles and responsibilities of key market intermediaries.

II. Introduction to Depository

- Comprehend the need for a depository system, its benefits, and its significance in the Indian securities market. Understand the legal framework governing depositories.

III. Depository and its Business Partners

- Examine the roles of depository participants (DPs), clearing corporations, issuers, and registrars/transfer agents in ensuring smooth operations.

IV. Functions of Depository Participant: Account Opening

- Understand the types of accounts, including Beneficiary and Clearing Member accounts, and the process of account opening, freezing, and closure.

V. Functions of Depository Participant: Account Operations

- Learn about Basic Services Demat Account (BSDA), joint accounts, and internet based depository operations provided by NSDL and CDSL.

VI. Transmission and Nomination

Understand the process of transmission of securities and the nomination facility available for account holders.

VII. Functions of Depository Participant: Dematerialization

Explore the processes of dematerialization, dematerialization, destatementization, and restatementization of securities.

VIII. Trading and Settlement

Explore the processes of dematerialization, dematerialization, destatementization, and restatementization of securities.

VIII. Trading and Settlement

Learn the settlement procedures for market and off-market transactions, interoperability, and mutual fund transactions.

IX. Special Services: Pledge and Hypothecation

Understand the concepts and procedures for pledging and hypothecating securities.

Learn about the recording of Non-Disposal Undertakings (NDUs).

X. Public Offering and Corporate Actions

Gain knowledge of corporate actions, including dividends, splits, and bonuses. Learn the procedures for handling public issues and other corporate actions.

XI. Debt Instruments and Government Securities

Understand debt instruments like Certificates of Deposit (CDs) and Commercial Papers.

Learn about the features of government securities.

XII. Foreign Portfolio Investor

Comprehend the eligibility criteria and categories of Foreign Portfolio Investors (FPIs) and their role in the Indian securities market.

XIII. Investor Services

Familiarize yourself with the redressal mechanisms for investor grievances, including the SCORES system and transfer of shares to the IEPF authority.



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).

LinkedIn

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-VI: Depository Operations Certification
- Call us for an Individual and Customized Corporate Training
- For more information please  +91 9967813782, +91 9004459173
-  training@icapitalacademy.com, amitg@icapitaltrainings.com
-  <https://wa.me/+919967813782>

Payment:

(1) Scan the QR Code:

(2) Transfer to a bank account:

ICAPITAL ACADEMY AND CORPORATE ADVISORY LLP

GSTIN- 27AAIFI3809D1ZJ

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.
- 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, 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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