



## **NISM-Series-VII: Securities Operations and Risk Management (SORM) Certification**

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

## Duration :- 24 Hours

### Study Materials :

- Recording available of online live sessions ( for 90 days )
- PPTs (600+ Slides)
- 800+ MCQs
- Quick revision summary.
- Career Guidance / Counseling

The NISM-Series-VII: Securities Operations and Risk Management Certification (SORM) aims to establish a minimum knowledge benchmark for professionals associated with stock-brokers, trading members, and clearing members in recognized stock exchanges. This certification is essential for individuals involved in:

- Managing assets or funds of investors/clients.
- Redressal of investor grievances.
- Internal control or risk management.
- Activities impacting operational risk.

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

- Understand the Basics of the Indian Securities Market: Grasp the products traded and roles of various market participants.
- Familiarize with Regulatory Frameworks: Comprehend the role of SEBI in overseeing securities markets.
- Master Broking Firm Operations: Learn the functions of the front, middle, and back offices.
- Learn the Trade Life Cycle: Understand the steps, participants, and back-office roles in securities trading.
- Manage Risks Effectively: Acquire knowledge about risk management and clearing and settlement processes.
- Address Investor Grievances: Understand processes for grievance redressal and arbitration

### **Assessment Details:**

- 100 MCQs of 1 mark each
- Duration: 2 hours
- Passing score: 50%
- 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 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

- Understand the Basics of the Indian Securities Market: Grasp the products traded and roles of various market participants.
- Familiarize with Regulatory Frameworks: Comprehend the role of SEBI in overseeing securities markets.
- Master Broking Firm Operations: Learn the functions of the front, middle, and back offices.
- Learn the Trade Life Cycle: Understand the steps, participants, and back-office roles in securities trading.
- Manage Risks Effectively: Acquire knowledge about risk management and clearing and settlement processes.
- Address Investor Grievances: Understand processes for grievance redressal and arbitration.

## Course Details:

- NISM exam registration fees not included in the above mention Course Fee.
- PDFs, PPTs (600+ Slides) and 800+ 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-VII: Securities Operations and Risk Management (SORM) Certification Examination is suitable for:**

- **Associated Persons:**

- Employees or partners of registered stock-brokers, trading members, or clearing members in recognized stock exchanges.
- Professionals managing assets or funds of investors/clients, handling investor grievances, or overseeing risk management and compliance activities.

- **Interested Individuals:**

- Students (10th, 12th, undergraduate, postgraduate) aspiring to enter the securities operations or risk management field.
- Professionals looking to specialize in securities operations and risk management.
- Financial advisors and portfolio managers seeking to deepen their expertise.
- Individuals aiming to understand securities market operations and risk mitigation strategies.

## Curriculum Overview:

### **Securities Operation and Risk Management (SORM) Certification :**

#### **I. Introduction to the Securities Market**

- .Explore the role of securities markets in the Indian economy, market structures, money markets, and traded products.

#### **II. Market Participants in the Securities Market**

- Understand the roles and types of investors, issuers, intermediaries, regulators, and the overarching regulatory framework.

#### **III. Introduction to Securities Broking Operations**

- Gain insights into the trade life cycle, including front office operations (client onboarding, KYC, order management), risk management practices, surveillance mechanisms, and back-office functions such as trade allocation, clearing, settlement, and regulatory compliance

#### **IV. Risk Management**

- Learn about capital adequacy requirements, client account controls, margin requirements, and regulatory reporting practices.

#### **V. Clearing Process**

- Understand the clearing process, the roles of clearing agencies, banks, custodians, depositories, and participants in equity and derivatives trading.

#### **VI. Settlement Process**

- Examine the settlement cycle, including internet-based trading, fund settlements, securities settlements, corporate action adjustments, and auctions.

#### **VII. Investor Grievances and Arbitration**

- Learn about grievance redressal procedures, arbitration processes, and appellate arbitration roles.

#### **VIII. Other Services Provided by Brokers**

- Discover the additional services offered by brokers, including IPO applications, ASBA facilities, mutual fund trading, portfolio management services, research reports, depository services, and margin trading.



## Faculty/Trainer<sup>∞</sup>:

**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).**

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)

<sup>∞</sup> : A trainer for a specific training course may be changed without prior notice.

## Registration & Fee Payment:

- Name of Module: NISM-Series-VII Securities Operation and Risk Management Certification.
- Call us for an Individual and Customized Corporate Training
- For more information please ☎ +919967813782, +91 9004459173

✉ : amitg@icapitaltrainings.com, training@icapitalacademy.com

📞 : <https://wa.me/+919967813782>

## Payment:

(1) Scan the QR Code:

(2) Transfer to a bank account:

ICAPITAL ACADEMY AND CORPORATE ADVISORY LLP

GSTIN- 27AAIFI3809D1ZJLP

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



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