

## **Annexure I – Syllabus Outline**

### **NISM-Series-III-B Issuers Compliance Certification Examination**

#### **Objective of the Examination**

The examination aims to enable a better understanding of various compliances which needs to be adhered to by listed companies or those companies who wish to get listed.

On successful completion of the examination the candidate should:

- Know the role and responsibilities of a Compliance officer of a listed company
- Understand the various avenues for raising funds from the Indian and global market and the various compliance requirements for the same
- Know the laws and regulations that need to be adhered to by a public company with respect to issues, corporate actions, and day to day compliance requirements.
- Know the various penalties for non-compliance with regulations and requirements as specified in various Regulations

#### **Examination Specifications**

This is a computer-based examination with multiple choice questions.

The examination consists of 100 questions of 1 mark each adding to 100 marks.

The examination should be completed in 2 hours.

There shall be negative marking of 25% of the marks assigned to the question for each wrong answer.

The passing score for the examination is 60 marks.

**NISM-Series-III-B**  
**Issuers Compliance Certification Examination**

**Syllabus Outline with Weightages**

<b>Sr. No.</b>	<b>Chapter Name</b>	<b>Marks</b>
Chapter 1	Introduction to Indian Capital Market	5
Chapter 2	Capital Market Regulations	10
Chapter 3	Compliance Officer	15
Chapter 4	Raising Capital from the market	5
Chapter 5	Role of Compliance Officer in IPO	25
Chapter 6	Role of Compliance Officer in other public Issues	10
Chapter 7	Raising money from foreign market	10
Chapter 8	Corporate Actions	10
Chapter 9	Ongoing Compliance Requirements	10
	<b>Additional Read: SAT Cases</b>	--