

## **Annexure I – Syllabus Outline (w.e.f April 6, 2021)**

### **NISM-Series-III-B**

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

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

The examination seeks to create a common minimum knowledge benchmark for Compliance Officers of listed companies and also companies which are proposed to be listed on the stock exchanges.

The certification aims to enhance the knowledge of these Compliance Officers ensuring continuous updation.

##### **Examination Objectives**

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.

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**Syllabus Outline with Weightages**

<b>Chapter No.</b>	<b>Chapter Name</b>	<b>Weightage</b>
1	Introduction to Indian Capital Market	5
2	Capital Market Regulations	10
3	Compliance Officer	10
4	Raising Capital from the market	5
5	Role of Compliance Officer in IPO & FPO -Main Board	22
6	Role of Compliance Officer in other Issues	8
7	Raising money from foreign market	10
8	Corporate Actions	10
9	Ongoing Compliance Requirements	10
10	Ethical Practices by Compliance Officers	5
11	Penalties	5