

NISM-Series-II-A: Registrars to an Issue and Share Transfer Agents – Corporate Certification Examination

Objective of the Examination

The examination seeks to create a common minimum knowledge benchmark for persons working in Registrars to an Issue and Share Transfer Agents (RTA) organizations in the corporate R&T function, in order to enable better quality investor service, operational process efficiency and risk controls.

On successful completion of the examination the candidate should:

- Know the basics of securities and securities markets
- Understand broadly the role and functions of the RTAs in the corporate securities issuance and transaction process.
- Know the regulatory environment in which the RTAs operate in India.

Functional Coverage

The examination will be mandatory for all associated persons employed or engaged by Registrars to the Issue and Transfer Agents (RTA) and performing RTA functions for listed companies.

Examination Specifications

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

- The Examination will consist 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 a question.
- The passing score for the examination will be 50 marks.

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Syllabus Outline and Weightages

Unit No.	Unit Name	Weightage (%)
Unit 1	Introduction to Securities	3
Unit 2	Characteristic of Equity Shares	6
Unit 3	Characteristics of Debt Securities	6
Unit 4	Characteristics of Other Securities	3
Unit 5	Basics of Mutual Funds	3
Unit 6	SEBI- Role and Regulations	14
Unit 7	Public Offer of Securities	5
Unit 8	Modes of allotment of shares other than Public Offers	2
Unit 9	Processes related to Public Offering of shares	8
Unit 10	Roles and Responsibilities in a Public Issue	6
Unit 11	Depository Services	6
Unit 12	Processes related to Depositories	16
Unit 13	Investor interface with the R&T Agent	10
Unit 14	Secondary Market Transactions	5
Unit 15	Client Servicing	7