

Annexure I – Syllabus Outline

NISM-Series-II-B: Registrars to an Issue and Share Transfer Agents - Mutual Fund 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 mutual fund 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 mutual fund 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 Mutual Funds.

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 **no negative** marking.
- 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	20
Unit 2	Characteristic of Equities	
Unit 3	Characteristics of Debt Securities	
Unit 4	Characteristics of Other Securities	
Unit 5	SEBI- Role and Regulations	
Unit 6	Basics of Registrars and Transfer Agents	25
Unit 7	Registrars and Transfer Agents Regulations	
Unit 8	Basics of Mutual Funds	25
Unit 9	Structure and Constituents of Mutual Funds	
Unit 10	Mutual Fund Products	
Unit 11	Operational Concepts of Mutual Funds	30
Unit 12	Investors in Mutual Funds	
Unit 13	Banking Operations in Mutual Funds	
Unit 14	Financial Transactions	
Unit 15	Non-Financial Transactions	