



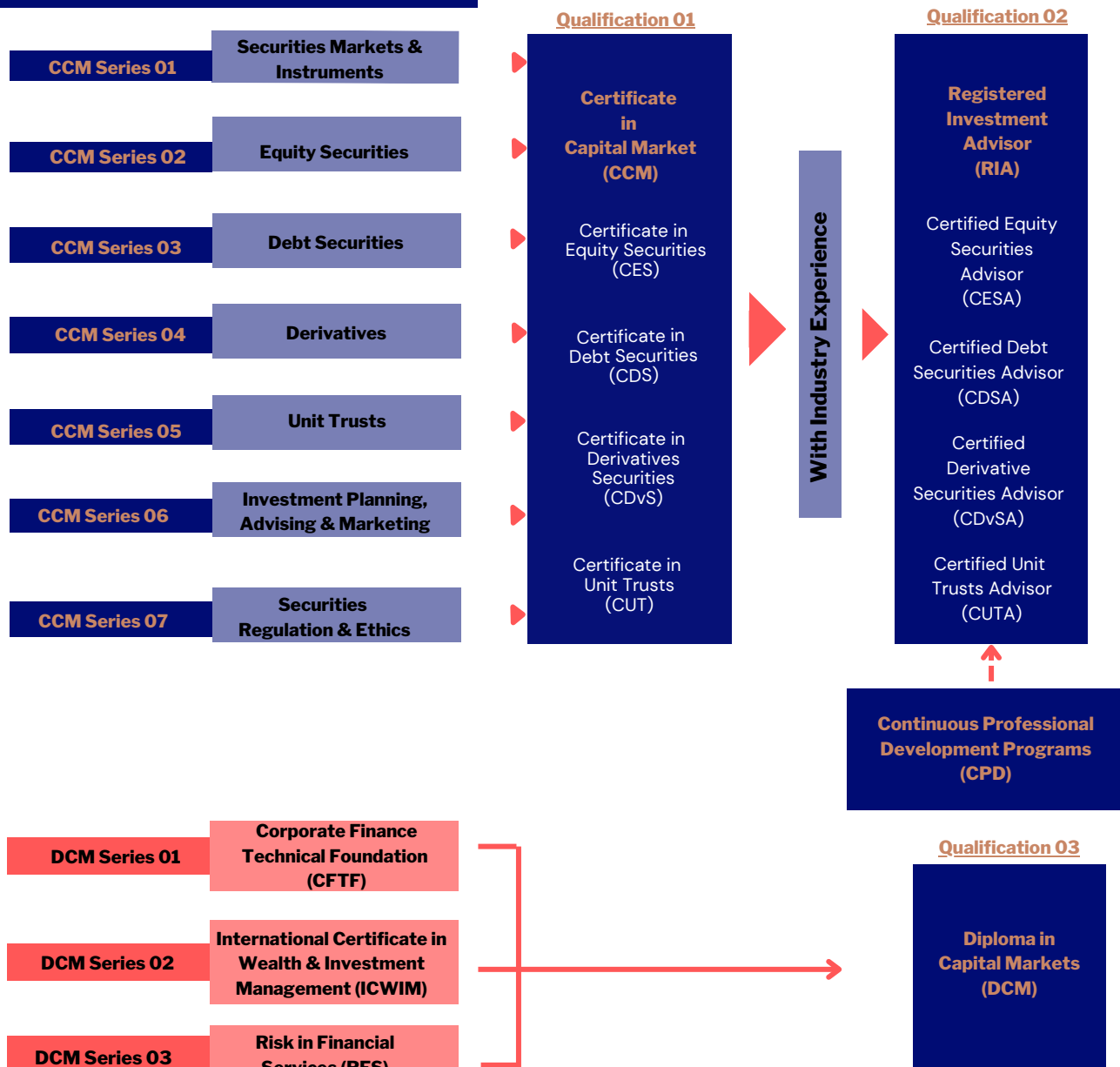
SEC

SECURITIES AND EXCHANGE
COMMISSION OF SRI LANKA

CERTIFICATE IN CAPITAL MARKETS (CCM)

**AN EXCELLENT OPPORTUNITY TO BUILD A REWARDING
CAREER IN CAPITAL MARKETS**

Qualification Framework (QF)



The QF has established the Certificate in Capital Markets (CCM) as the basic securities market certification, and is mandatory to be licensed as a Registered Investment Advisor (RIA) in Sri Lanka. This QF provides for separate certifications for asset classes to accommodate equity, debt, derivatives and unit trusts and enhance the RIA qualification to an apex qualification in the securities industry.

The main objective of this QF is to ensure that financial industry professionals have a minimum level of proficiency to perform their job functions. This is an essential prerequisite for developing a viable securities industry and safe guarding the interests of the investors.

Obtaining this qualification will be useful for recruitment in the areas of Banking, Stock brokering, Money brokering, Fund management, Investment banking, Corporate financing, Venture capital, Insurance, Leasing & Finance, Accounting, Valuation, Financial consulting etc. CCM is also an entry qualification to register for Diploma in Capital Markets (DCM)

How to Obtain Certifications and License

		Level of Certification & License				
Series No.	Series Name	Equity	Debt	Derivatives	Unit Trusts	Capital Market
Series 01	Securities Markets & Instruments					
Series 02	Equity Securities					
Series 03	Debt Securities					
Series 04	Derivatives					
Series 05	Unit Trusts					
Series 06	Financial Planning, Advising and Marketing					
Series 07	Securities Regulation and Ethics					
	Certification	Certificate in Equity Securities (CES)	Certificate in Debt Securities (CDS)	Certificate in Derivatives Securities (CDvS)	Certificate in Unit Trusts (CUT)	Certificate in Capital Market (CCM)
	Relevant Industry Experience	6 months	6 months	6 months	6 months	1 year
	Viva Voce Examination	Required	Required	Required	Required	Required
	Industry Designation	Certified Equity Securities Advisor	Certified Debt Securities Advisor	Certified Derivative Securities Advisor	Certified Unit Trusts Advisor	Registered Investment Advisor (RIA)
	Continuous Professional Development	Four CPD Credits Annually				

The above highlighted table indicate the specific Series that form each Certification. Series 1, Series 6 and Series 7 are common and required for all the Certifications. In addition to these Series, each certification requires a specialized series on the specific asset class or instrument such as equity, debt, derivatives and unit trusts for which the Certification is obtained. CCM contains all asset classes and hence all series are included.

After achieving the Certification with the relevant industry experience, the licenses can be obtained as follows:



Certification & Qualification

1. Certificate in Equity Securities —————> Certified Equity Securities Advisor
2. Certificate in Debt Securities —————> Certified Debt Securities Advisor
3. Certificate in Derivative Securities —————> Certified Derivative Securities Advisor
4. Certificate in Unit Trusts —————> Certified Unit Trusts Advisor
5. Certificate in Capital Markets —————> Registered Investment Advisor

Entry Qualifications

The minimum entry requirements to register as a candidate for any of the certifications are as follows:

- **GCE Advanced Level examination.**
OR
- **Bachelors' Degree in a discipline acceptable to the SEC.**
OR
- **Professional qualifications in a discipline acceptable to the SEC.**

Course Details

Commencement

A new batch will commence once a year and/or according to industry requirement.

Duration

Duration to complete CCM will be one year. Lectures will be on Saturdays

Statutory Requirement

In terms of the Securities and Exchange Commission of Sri Lanka (SEC) Act No. 19 of 2021 (as amended), obtaining the Certificate in Capital Markets is a mandatory requirement to function as a Registered Investment Advisor(RIA).

Course Material

Comprehensive lecture material for all Series will be provided before each lecture. Additional study material such as text books, study guides and financial calculator is required to be purchased by the student.



Exemptions

Exemptions are intended to provide waiver due to previous academic or professional training of candidates. Exemptions are granted on a Series Basis for each certification

A person who has passed the Level II Examination of the Certified Financial Analysts (CFA) program is eligible for exemptions from:

- Series 1 - Securities Markets and Instruments
- Series 2 - Equity Securities
- Series 3 - Debt Securities
- Series 4 - Derivatives

Exemptions will NOT be granted for

- Series 6 -Financial Planning, Advising and Marketing
- Series 7 -Securities Regulation and Ethics

Student Support

Lectures are conducted by an expert panel of lecturers drawn from the academia and industry. The students will additionally be supported by review sessions and one-on-one support methods.

CCM Examinations

A Examinations for CCM will be held every quarter as follows:

Examination Fee - LKR 5000.00 per exam

Quarter 01	Series 1
	Series 2
	Series 3
Quarter 02	Series 5
	Series 6
	Series 7

Quarter 03	Series 1
	Series 2
	Series 3
Quarter 04	Series 5
	Series 6
	Series 7



Payment Procedure & Structure

Certification	Fee Structure
Certificate in Capital Markets	Rs. 95, 000. 00
Certificate in Equity Securities	Rs. 75, 000. 00
Certificate in Debt Securities	Rs. 70, 000. 00
Certificate in Unit Trusts	Rs. 70, 000. 00

- Cheques or Cash should be deposited to:
Bank : Bank of Ceylon
Branch : Corporate Branch
Account Number : 9919753
- If payment is by a cheque then it should be drawn in favor of "Securities and Exchange Commission of Sri Lanka" crossed "A/C Payee Only"
- If payment is done at the bank counter then e-mail us the scanned copy of the Original (green) Payment Slip.
- If the payment is done by online/direct transfer then e-mail us the Bank Payment Confirmation Email.

How to Register for the Programme

1

Download the Application Form from the SEC Website.



2

Fill in the Application.



4

E-mail the documents to the e-mail address mentioned in the banner.



3

Attest your NIC and educational certificates.



5

SEC will review your documents and inform your eligibility for the programme.

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7

You will receive programme information before the commencement.

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6

Make the payment and email the payment confirmation.





For More Information



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