



Certificate in Capital Markets (CCM)

**An excellent opportunity to build a rewarding career
in capital markets**

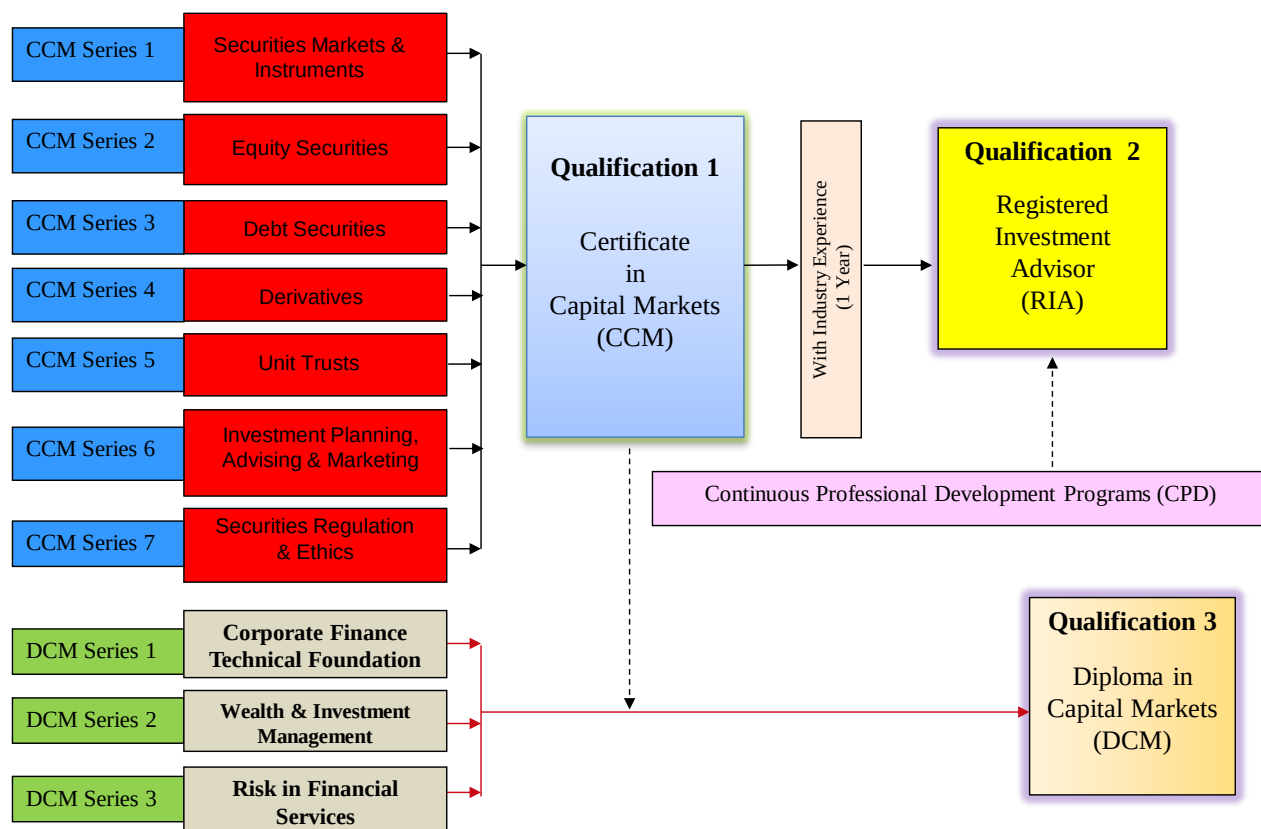


External Relations & Capital Market Education

Securities and Exchange Commission of Sri Lanka



Qualification Framework



Certificate in Capital Markets Programme (CCM) is the only qualification for capital market practitioners to pave the way to becoming a Registered investment Advisor (RIA). The overall Qualification Framework (QF) provides separate certifications for each asset class as below.

1. Certificate in Equity Securities which leads to Certified Equity Securities Advisor
2. Certificate in Debt Securities which leads to Certified Debt Securities Advisor
3. Certificate in Derivative Securities which leads to Certified Derivative Securities Advisor
4. Certificate in Unit Trust which leads to Certified Unit Trust Advisor

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)

Entry Qualifications The minimum entry requirements to register as a candidate for any of the certifications are as follows: 1. Pass all subjects at the GCE Advanced Level examination. 2. Bachelor's Degree in a discipline acceptable to the SEC. 3. Professional qualifications in a discipline acceptable to the SEC.	Statutory Requirement In terms of the Securities and Exchange Commission of Sri Lanka (SEC) Act No. 36 of 1987 (as amended), obtaining the Certificate in Capital Markets is a mandatory requirement to function as a RIA.	Course Details A new batch will commence twice a year for English Medium. Sinhala batches will commence according to industry requirement. Duration to complete CCM will be one year. Lectures will be held on Saturdays at the World Trade Centre, Colombo 1.
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Course Material Comprehensive study packs for all series will be provided after registration. Additional study material such as text books, study guides and financial calculator is required to be purchased by the student.	Exemptions Exemptions from any particular series will be granted on a case by case basis upon evaluating the documentary evidence of prior academic or professional training in the particular subject area acceptable to the SEC.	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. Attendance at lectures is not compulsory.
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Payment Details

Series	Series Name	Fee Structure	* Mandatory subjects to be followed for all certifications
Series 1*	Securities Markets & Instruments	Rs. 7,000.00	
Series 2	Equity Securities	Rs. 10,000.00	
Series 3	Debt Securities	Rs. 5,000.00	
Series 4	Derivatives	-	
Series 5	Unit Trusts	Rs. 5,000.00	
Series 6*	Financial Planning, Advising and Marketing	Rs. 6,000.00	
Series 7*	Securities Regulation and Ethics	Rs. 7,000.00	

Course Fee: Rs. 40,000/- and Examination Fee: Rs 1,500/- per series

Cheques and cash should be deposited to **Bank of Ceylon (Corporate Branch) A/C No. 9919753** and forward the original receipt along with the application form (All cheques should be drawn in favor of **"Securities and Exchange Commission of Sri Lanka"** crossed "A/C Payee Only")

Certification Levels to RIA pathway

Series No	Series Name	Level of Certification & Licensing				
		Equity	Debt	Derivatives	Unit Trusts	Capital Markets
Series 1	Securities Markets & Instruments					
Series 2	Equity Securities					
Series 3	Debt Securities					
Series 4	Derivatives					
Series 5	Unit Trusts					
Series 6	Financial Planning, Advising and Marketing					
Series 7	Securities Regulation and Ethics					
	Certification	Certificate in Equity Securities	Certificate in Debt Securities	Certificate in Derivatives	Certificate in Unit Trusts	Certificate in Capital Markets
	Relevant Industry Experience	6 Months	6 Months	6 Months	6 Months	One 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 Trust Advisor	Registered Investment Advisor (RIA)
	Continuous Professional Development	4 Annual CPD seminar credits plus a CPD module every two years				

Completed applications will be accommodated on first come first served basis

Application forms could be downloaded from following websites

(www.cmetsec.gov.lk and www.sec.gov.lk)

for more information

Voice: (+94 11) 2143843 Ext: 152, (+94 11) 2143822 (Direct)

Fax: [\(+94 11\) 2423261](tel:+94112423261) [\(+94 11\) 2439149](tel:+94112439149)

E-Mail: sajeevani@sec.gov.lk



<https://www.facebook.com/secsocialmedia/>



https://twitter.com/SEC_SriLanka

External Relations & Capital Market Education

Securities and Exchange Commission of Sri Lanka

Level 28-29, East Tower, World Trade Center,

Echelon Square, Colombo 01, Sri Lanka

Certificate in Capital Markets APPLICATION FORM

Please fill the application form in BLOCK CAPITALS

Medium: English ☐ Sinhala ☐

PERSONAL DETAILS

Title: Mr / Mrs / Ms		Name with Initials:
Full Name:		
Date of Birth:	Nationality:	
Gender:		NIC No:
Permanent Home Address:		Corresponding Address:
Mobile Tel No:		
Land Tel No :		
Email Address:		
		Tel No:
		Fax No:

EDUCATIONAL QUALIFICATIONS

Primary Education : Advanced Level

Subject	Result

OTHER ACADEMIC / PROFESSIONAL QUALIFICATION

EMPLOYMENT

If you are presently employed please state employer's name and nature of your work:

(Note: your employer will not be contacted without your permission)

DECLARATION

I certify that the information given in this application is true, complete and accurate and no information has been omitted. I accept that if I do not fully comply with these requirements Capital Market Education and Training Division of the Securities and Exchange Commission of Sri Lanka shall have the right to cancel my application and shall have no claim against them. I understand that this application and all supporting documents become the confidential property of Capital Market Education and Training Division and will not be returned, copied or released.

Signature.....

Date

PAYMENT DETAILS

Series No:	Series Name	Fee Structure	* Mandatory subjects to be followed for all certifications.
Series 1*	Securities Markets & Instruments	Rs. 7,000.00	
Series 2	Equity Securities	Rs. 10,000.00	
Series 3	Debt Securities	Rs. 5,000.00	
Series 4	Derivatives	-	
Series 5	Unit Trusts	Rs. 5,000.00	
Series 6*	Financial Planning, Advising and Marketing	Rs. 6,000.00	
Series 7*	Securities Regulation and Ethics	Rs. 7,000.00	

Total Course Fee: Rs. 40,000.00

Cheques and cash should be deposited to **Bank of Ceylon (Corporate Branch) A/C No. 9919753** and forward the original receipt along with the application form (All cheques should be drawn in favor of **"Securities and Exchange Commission of Sri Lanka"** crossed "A/C Payee Only")

DOCUMENTS TO BE FORWARDED ALONG WITH THE COMPLETED APPLICATION FORM

- 1) Original Payment Slip
- 2) Copy of the National Identity Card or Valid Passport
- 3) Copy of GCE (A/L) Certificate

Copies of all original Certificates and copy of NIC/Passport should be certified by either a "Justice of Peace", "Commissioner of Oaths" or "Notary Public"

FOR OFFICE USE ONLY

Payment Details:.....

Receipt No:

Signature:.....

Date:.....

For more information

Visit Website: www.cmetsec.gov.lk & www.sec.gov.lk
Tele: 0112143843 or 0112143822 Ext :152/155
Level 29, East Tower, World Trade Centre, Colombo 1



PROGRAMME IN INVESTING

DO YOU WANT TO BE A SMART INVESTOR?
Learn the basics of investing in the Capital Market

Programme Objective

The programme will focus on providing basic theoretical and practical aspects of share trading for potential and existing investors which will facilitate informed investment decisions.

Programme Content

- Introduction to Investments and the Colombo Stock Exchange
- Financial Statement Analysis
- Benefits of Investing, Myths and Mistakes of Investing & Duties of a Stock Broker
- Investing in Unit Trusts
- Investing in Debt Instruments
- Investor Protection

Programme Fee Rs. 10,000/-

Commencement Date - 15 August 2020

- Time : 9.00 am – 1.00 pm
- Duration : 6 Weeks
- Medium : English
- Venue : World Trade Center, Colombo 01

Application Forms and the other information can be downloaded from the www.cmetsec.gov.lk / www.sec.gov.lk

***Lectures are conducted by an expert panel of lecturers from the academia & the industry.
Classes will be held on Saturdays.***

Registration Information

Tel : 0112 143 823

Fax : 0112 423 261

priyadarshini@sec.gov.lk

SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA

Level 28 & 29, East Tower, World Trade Center, Echelon Square, Colombo 01

Tel: 0112 143 843 | Fax: 0112 423 261 | Web: www.cmetsec.gov.lk & www.sec.gov.lk



PROGRAMME IN INVESTING

Registration Form

Private Information

Last Name :-	Rev/Mr./Mrs./Miss :-
Other Name/s :-	
Date of Birth :-	
NIC Number :-	
Permanent Corresponding Address :-	
Mobile Number :-	
Telephone Number (Land Line) :-	
Email Address :-	

Information regarding employment

Designation :-

Name and Address of the employer :-

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Date

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Signature

PAYMENT DETAILS

Course Fee: Rs 10,000/-

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FOR OFFICE USE ONLY

Payment Details:.....

Receipt No:

Signature:.....

Date:.....

For more information

Visit Website: www.cmetsec.gov.lk & www.sec.gov.lk

Tel: 0112 143 823, Level 29, East Tower, World Trade Centre, Colombo 01.

Email: priyadarshini@sec.gov.lk