



# Certificate in Capital Markets (CCM)

An excellent opportunity to build a rewarding career  
in capital markets

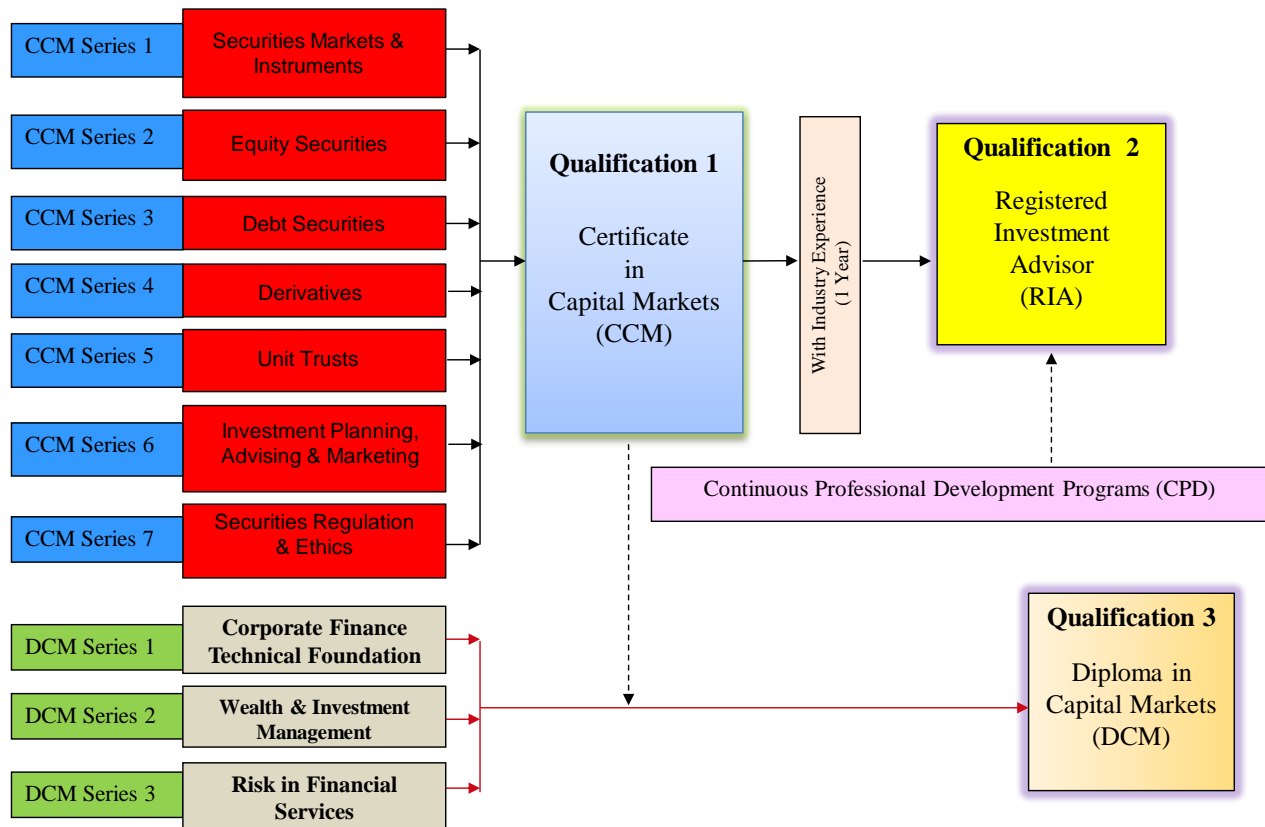


External Relations & Capital Market Education

**Securities and Exchange Commission of Sri Lanka**

**SEC** | 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)

<p style="text-align: center;"><b>Entry Qualifications</b></p> <p>The minimum entry requirements to register as a candidate for any of the certifications are as follows:</p> <ol style="list-style-type: none"> <li>1. GCE Advanced Level examination.</li> <li>2. Bachelor's Degree in a discipline acceptable to the SEC.</li> <li>3. Professional qualifications in a discipline acceptable to the SEC.</li> </ol>	<p style="text-align: center;"><b>Statutory Requirement</b></p> <p>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.</p>	<p style="text-align: center;"><b>Course Details</b></p> <p>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.</p> <p>Lectures will be on Saturdays</p>
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<p style="text-align: center;"><b>Course Material</b></p> <p>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.</p>	<p style="text-align: center;"><b>Exemptions</b></p> <p>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.</p>	<p style="text-align: center;"><b>Student Support</b></p> <p>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.</p>
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## Payment Details

Certification	Fee Structure
Certificate in Capital Markets	Rs. 50,000.00
Certificate in Equity Securities	Rs. 40,000.00
Certificate in Debt Securities	Rs. 35,000.00
Certificate in Unit Trusts	Rs. 35,000.00

### Payment Procedure

- Cheques or Cash should be deposited to :
  - Bank** : **Bank of Ceylon**
  - Branch** : **Corporate Branch**
  - Account Number** : **9919753**
- If payment is by a cheques the 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 handover the Original (green) Payment Slip to the SEC along with the application
- If the payment is done by online/direct transfer then forward us the Bank Confirmation Email

## How to Obtain Certifications and License

Series No	Series Name	Level of Certification & License				
		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					
	<b>Certification</b>	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
	<b>Industry Designation</b>	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**

Email us to obtain an application form

Application forms could also be downloaded from the following website

[www.sec.gov.lk](http://www.sec.gov.lk)

*for more information*

E-Mail: [sajeevani@sec.gov.lk](mailto:sajeevani@sec.gov.lk) and [Ushani\\_S@sec.gov.lk](mailto:Ushani_S@sec.gov.lk)



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**Securities and Exchange Commission of Sri Lanka**

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