



## **CAPITAL MARKETS AND SECURITIES AUTHORITY**

### **SECURITIES INDUSTRY CERTIFICATION COURSE (SICC)**

**22<sup>ND</sup> FEBRUARY TO 02<sup>ND</sup> APRIL 2021 AT THE CMSA  
TRAINING CENTRE, PPF TOWER, 6<sup>TH</sup> FLOOR, OHIO  
STREET/GARDEN AVENUE, DAR ES SALAAM**

The Capital Markets and Securities Authority (CMSA) was established by the Capital Markets and Securities Act, 1994 (Cap. 79) and is charged with the responsibility for developing and regulating capital markets in Tanzania. According to the Capital Markets and Securities Act (CMS Act), CMSA is charged with responsibilities of promoting and facilitating the development of an orderly, efficient and sustainable capital markets and securities business in Tanzania while ensuring fair and equitable dealings. CMSA licenses and regulates investment intermediaries, commodities traders and approves issuers of securities to the public and commodity contracts among other duties.

Pursuant to Section 32 of the CMS Act, a person intending to work as a Dealer; a Dealers Representative, an Investment Adviser; an Investment Adviser's Representative; Nominated Advisors Representative (NARs) or any other market intermediary, must have CMSA's Certification.

In view of the above, and in its efforts to develop and strengthen capital markets in Tanzania, the CMSA in collaboration with the Chartered Institute for Securities and Investment (CISI), UK will conduct the Securities Industry Certification Course (SICC) as detailed below.

#### **OBJECTIVES OF THE COURSE**

The objective of the course is to train market players and professionals to keep pace with the global market demands in delivery of services and promoting professionalism and expertise in the capital market business. Specifically, the objectives of the SICC are to:-

- i) Deliver a training programme to potential brokers, dealers representatives, Nominated Advisors (NOMADs), NARs, investment advisers, regulators, stock exchange officials and other market players;
- ii) Ensure that trainees have sufficient understanding of capital markets and business in the Enterprise Growth Market (EGM) segment in order to perform their roles in a

- way that contributes to making an orderly market that is fair and efficient;
- iii) Convey an understanding of the basic and practical requirements for managing EGM companies and securities business;
  - iv) Help trainees appreciate that securities business is the most likely to flourish in a market that enjoys the trust of both investors and issuers.
  - v) Bridge the gap of the increasing need of market professionals given the current and anticipated growth of capital market industry in the Country.

### **WHO SHOULD ATTEND THE COURSE**

The course is targeted for professionals who are offering or intending to offer their services to the capital markets and securities industry. These include staff of:

1. Broker or Dealer Companies;
2. Nominated Advisor Companies;
3. Investment advisers firms;
4. Pension Funds and Trustees;
5. Portfolio and Asset Management Companies;
6. Banks and Financial Institutions;
7. Investment Companies;
8. Stock Exchange;
9. Regulators of Capital Markets, Insurance, Social Security and Banking Sector;
10. Listed companies and companies with potential for listing;
11. Professional firms such as Accountants and Auditors, Lawyers etc
12. Other interested institutions.

### **QUALIFICATIONS OF PARTICIPANTS**

The potential participants for this course should have qualification of a diploma or advanced diploma or university degree or their equivalents.

### **APPROACH OF THE COURSE**

The course is organised in the form of modules and will be delivered by expert trainers, consultants, regulators and investment advisors on a part time basis. Training will be primarily through lectures. At the end of the six weeks, candidates will sit for an examination.

### **DATE AND DURATION**

The SICCC will be conducted from 22<sup>nd</sup> February to 02<sup>nd</sup> April 2021 and will be an evening programme from Monday to Friday starting from 5:00pm to 8:00pm.

## **VENUE**

The course will take place at the CMSA Training Centre, located at the 6<sup>th</sup> Floor, PPF Tower, corner of Ohio Street and Garden Avenue, Dar es Salaam, Tanzania.

## **APPLICATION AND PARTICIPATION FEES**

The application fee is TZS 50,000 and the participation fee is TZS 2,000,000 per person. The participation fee covers the tuition, learning materials and refreshments. Candidates will be responsible for their own travel and accommodation expenses.

Payment for the fees should be deposited in the bank account whose details appear below:

**Name of Account: Capital Markets and Securities Authority**

**Bank: National Microfinance Bank PLC**

**Branch – Bank House**

**Account No. 20101100042**

Interested candidates should submit their applications showing full addresses, emails and phone numbers and enclose copies of relevant education certificates. The bank deposit slips for the payment of application and participation fees should also be enclosed. The application should reach the undersigned not later than 31<sup>st</sup> January 2021.

THE CHIEF EXECUTIVE OFFICER

CAPITAL MARKETS AND SECURITIES AUTHORITY

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