

# RTA-Corporate CPE

## Eligibility Criteria for NISM Series II (a): RTA-Corporate CPE

### **General category**

Any person holding any of the following Certificates:

(a) NISM Series II (a): RTA-Corporate Certification Examination

(b) NISM Series II (b): RTA-Corporate Continuing Professional Education

and the validity of which has not expired, may attend NISM Series II (a): RTA-Corporate CPE Program, on submission of the Required Documents (*as mentioned in (B)*).

*Note: Candidates can attend the CPE Program not before twelve months prior to expiry of the said Certificate.*

### **Principal Category**

Any person who is actively engaged in the management of an Intermediary's securities business including supervision, solicitation, the conduct of business, and is a Proprietor / Sole Proprietor / Partner / Managing Partner / Chairman / Director / Executive Director / Whole-Time Director / Chief Executive Officer, may attend NISM Series II (a): RTA-Corporate CPE Program under the 'Principal Category', on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her designation.*

### **Grandfather by Age Category**

Any associated person, other than Principal, who has completed the age of 50 years *as on September 04, 2009*, may attend NISM Series II (a): RTA-Corporate CPE Program under the 'Grandfather by Age' Category, on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her age.*

### **Grandfather by Experience Category**

Any associated person, other than Principal, having a work experience of 10 years or more in a Registrar to an Issue or Share Transfer Agent for the purpose of dealing or interacting with the investors or issuers / dealing, collecting or processing applications from the applicants / dealing with matters relating to corporate actions, refunds or redemptions, repurchase of securities / handling redressal of investors' grievances / internal control and risk management / compliance of securities laws / maintenance of books and records pertaining to the above activities, **as on September 04, 2009**, may attend NISM Series II (a): RTA-Corporate CPE Program under the 'Grandfather by Experience' Category, on submission of Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her experience.*

### **(B) Required Documents for NISM Series II (a): RTA-Corporate CPE**

The following documents need to be verified at the CPE venue for attending NISM Series II (a): RTA-Corporate CPE Program:

#### **General Category**

1. Copy of PAN Card
2. Copy of a valid Certificate (*any of the above mentioned*)

#### **Principal Category**

1. Copy of PAN Card
2. [Proof of Designation](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the Intermediary

#### **Grandfather by Age Category**

1. Copy of PAN Card

### **Grandfather by Experience Category**

1. Copy of PAN Card
2. [Proof of Experience](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the RTA (in which the Candidate is currently working) with SEBI / Registration Certificate of the Organization (if the Candidate is working in an Organization with an in-house Share Transfer Department)

Please note that Candidates are required to **carry in original** the above-mentioned Documents (*under respective Categories*) to the CPE venue for verification in order to obtain admission to the CPE Program

## RTA-Mutual Fund CPE

### NISM Series II-B: RTA-Mutual Fund CPE

In exercise of the powers conferred by sub-regulation (1) of Regulation (9) of SEBI (Certification of Associated Persons in Securities Markets) Regulations, 2007, NISM specifies the CPE Program for the '**NISM Series II-B: Registrars to an Issue and Share Transfer Agents – Mutual Fund Certification Examination**', for the purpose of revalidation of the certificate.

(Refer SEBI Notification *No. LAD-NRO/GN/ 2009-10/18/175577* dated September 04, 2009)

Accordingly, any person holding any of the following Certificates:

- (a) NISM Series II-B: RTA-Mutual Fund Certification Examination
- (b) NISM Series II-B: RTA-Mutual Fund Continuing Professional Education

and the validity of which has not expired can re-validate his / her Certificate for a period of three years from its date of expiry by successfully completing **NISM Series II-B: RTA-Mutual Fund Continuing Professional Education Program** as specified by NISM during 12 months preceding the date of expiry of the Certificate.

Also, Associated Person (*already engaged or employed or on being engaged or employed by a Registrar to an Issue or Share Transfer Agent for the purpose of dealing or interacting with the investors or issuers/dealing, collecting or processing applications from the applicants / dealing with matters relating to corporate actions, refunds or redemptions, repurchase of securities/handling redressal of investors' grievances / internal control and risk management/compliance of securities laws/maintenance of books and records pertaining to the above activities*) belonging to the Principal\* and the Grandfather\*\* Category can obtain a Certificate for the first time by successfully completing NISM Series II-B: RTA-Mutual Fund Continuing Professional Education Program as specified by NISM.

*Note: Associated Persons not belonging to either the Principal or the Grandfather Category, whose Certificate has expired, will have to pass the NISM Series II-B: RTA-Mutual Fund Certification Examination to obtain a new Certificate.*

### Design of the CPE Program

- The CPE Programs shall be delivered in a class-room format.
- NISM has Accredited CPE Providers for the [delivery](#) of the NISM CPE Programs.
- All NISM CPE Programs are of one day duration (approximately six hours).
- A test shall be conducted by the CPE Provider at the end of the Program.

After verifying that Candidates have successfully completed the Program, NISM shall issue a new Certificate for a period of three years from the date of the Program or re-validate an existing Certificate for a period of three years from its date of expiry.

Note: The content and duration of the CPE Programs shall be specified from time to time, by NISM for each CPE Program specific to each Certification Examination.

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\*Principal: Any person who is actively engaged in the management of a Registrar to an Issue and Transfer Agent or an Intermediary's Securities business including supervision, solicitation, the conduct of business, and is a Proprietor / Sole Proprietor / Partner / Managing Partner / Chairman / Director / Executive Director / Whole-Time Director / Chief Executive Officer, can be classified under the Principal Category.

\*\*Grandfather: Any associated person, other than Principal, who has completed the age of 50 years as on September 04, 2009, or who has been engaged or employed by a Registrar to an Issue or Share Transfer Agent for the purpose of dealing or interacting with the investors or issuers/dealing, collecting or processing applications from the applicants / dealing with matters relating to corporate actions, refunds or redemptions, repurchase of securities/handling redressal of investors' grievances / internal control and risk management/compliance of securities laws/maintenance of books and records pertaining to the above activities for 10 years or more, as on September 04, 2009, can be classified under the Grandfather Category.

## Securities Intermediaries Compliance (Non-Fund)

### Eligibility Criteria for NISM Securities Intermediaries Compliance (Non-Fund) CPE

#### General category

Any person holding any of the following Certificates

- (a) NISM-Series III-A: Securities Intermediaries Compliance (Non-Fund) Certification Examination
- (b) NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) Continuing Professional Education

and where the validity of such Certificate has not expired may attend NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) CPE Program, on submission of the Required Documents (*as mentioned in (B)*).

*Note: Candidates can attend the CPE Program not before twelve months prior to expiry of the said Certificate*

#### Principal Category

Any person who is actively engaged in the management of a SEBI registered [Broker](#) / [Depository](#) Participant / [Merchant Banker](#) / Underwriter / Banker to the Issue / Debenture Trustee / Credit Rating Agency including supervision, solicitation, conduct of business, that is a Proprietor / Sole Proprietor / Partner / Managing Partner / Chairman / Director / Executive Director / Whole Time Director / Chief Executive Officer and performs the functions of a Compliance Officer, may attend NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) CPE Program under the 'Principal' Category, on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her designation*

#### Grandfathered by Age Category

Any associated person, other than Principal, who has completed the age of 50 years **as on March 11, 2013** may attend NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) CPE Program under the 'Grandfather by Age' Category, on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her age*

### **Grandfathered by Experience Category**

Any associated person, other than Principal, who has who has been associated for 10 years or more with a SEBI registered Broker / Depository Participant / Merchant Banker / Underwriter / Banker to the Issue / Debenture Trustee / Credit Rating Agency as a Compliance Officer, **as on March 11, 2013**, may attend NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) CPE Program under the 'Grandfather by Experience' Category, on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her experience*

### **(B) Required Documents for NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) CPE**

The following Documents need to be verified at the CPE venue for attending the Securities Intermediaries Compliance (Non-Fund) CPE Program:

#### **General Category**

1. Copy of PAN Card
2. Copy of valid Certificate (*any of the above mentioned*)

#### **Principal Category**

1. Copy of PAN Card
2. Proof of Designation ([Click to download the format](#))
3. Copy of Certificate of Registration of the Intermediary

#### **Grandfathered by Age Category**

1. Copy of PAN Card

### **Grandfathered by Experience Category**

1. Copy of PAN Card
2. Proof of Experience ([Click to download the format](#))
3. Copy of Certificate of Registration of the Intermediary

Please note that candidates are required to **carry in original** the above mentioned Documents (*under respective Categories*) to the CPE venue for verification in order to obtain admission to NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) CPE Program.



## Interest Rate Derivatives CPE

### Eligibility Criteria for NISM Interest Rate Derivatives CPE

#### General category

Any person holding a certificate of 'NISM-Series-IV: Interest Rate Derivatives Certification Examination' and where the validity of which has not expired may appear for NISM's CPE Program for Interest Rate Derivatives, on submission of the required documents (*as mentioned in (B)*).

*Note: Candidates with a valid certificate of 'NISM-Series-IV: Interest Rate Derivatives Certification Examination' can appear for NISM's CPE Program for Interest Rate Derivatives not before twelve months prior to expiry of the said certificate.*

#### Principal category

Any associated person who is actively engaged in the management of the intermediary's securities business, including supervision, solicitation, the conduct of business, and includes:

- a) Proprietor / Sole Proprietor,
- b) Partner / Managing Partner,
- c) Chairman,
- d) Whole Time Directors,
- e) Executive Director / Director,
- f) Chief Executive Officer

can be classified under the *Principal category*. Such persons belonging to the *Principal category*, whether holding or not holding NISM-Series-IV: Interest Rate Derivatives Certification Examination certificates may appear for NISM's CPE Program for Interest Rate Derivatives under the *Principal category*, on submission of the required documents (*as mentioned in (B)*).

#### Grandfathered by age category

Any associated person, other than Principal, who has completed the age of 50 years *as on June 29, 2010*, whether holding or not holding the certificate of 'NISM-Series-IV- Interest Rate Derivative Certification Examination' can appear for NISM's CPE Program for Interest Rate Derivatives under the *Grandfather Type I* category, on submission of the required documents (*as mentioned in (B)*).

### (B) Required Documents for NISM Interest Rate Derivatives CPE

The following Documents need to be verified at the CPE venue for attending the Interest Rate Derivatives CPE Program:

#### General category

1. Copy of PAN Card
2. Copy of a valid certificate (*any of the above mentioned*)
3. Admit Card

### **Principal category**

1. Copy of PAN Card
2. [Proof of Designation](#) (*Click to Download the format*)
3. Admit Card
4. A Letter from a Compliance Officer or from a practising Chartered Accountant/Company Secretary (*in the absence of a Compliance Officer*) on the letterhead of the Organization/CA/CS in the following format:

“(Name of person), designated as either

- 1. Proprietor / Sole Proprietor, or**
- 2. Partner / Managing Partner, or**
- 3. Chairman, or**
- 4. Whole-Time Director, or**
- 5. Executive Director / Director, or**
- 6. Chief Executive Officer**

**is ‘Principal’ as per SEBI (CAPSM) Regulation 2007, Sub regulation 2 (k) and is eligible to obtain CPE certificate by attending the specified CPE Program, as per sub-regulation (2) of regulation 4 of SEBI (CAPSM) Regulations, 2007”**

*(Mark the appropriate designation with a tick. The Letter from a CA or a CS must contain the Registration Number)*

### **Grandfathered by age category**

1. Copy of PAN Card
2. Admit Card

NISM reserves the right to seek further clarification on the Work Experience of the Candidate, from the Candidate and/or the certifying Compliance Officer/CA/CS, as and when required. In such cases, NISM shall issue the CPE Certificate only if the clarification obtained is found to be satisfactory.

Please note that candidates are required to **carry in original** the above-mentioned documents (*under respective categories*) to the CPE venue for verification in order to obtain admission to NISM’s CPE Program for Interest Rate Derivatives.

## Mutual Fund Distributors CPE Program

### Eligibility Criteria for NISM Series V (a): Mutual Fund Distributors CPE Program

#### General Category

Any person holding any of the following Certificates:

(a) NISM Series V (a): Mutual Fund Distributors Certification Examination

**(b) NISM Series V (a): Mutual Fund Distributors Continuing Professional Education**

(c) AMFI Mutual Fund (Advisors) Module

(d) IICM: Refresher Course on Mutual Funds\*

(e) CIEL: Refresher Course on Mutual Funds\*

*\*The validity of the Certificate shall be deemed to be of five years from the date of issue of the Certificate*

and the validity of which has not expired may attend NISM Series V (a): Mutual Fund Distributors CPE Program, on submission of the Required Documents (*as mentioned in (B)*).

Also, any person holding a valid ARN Card, whether or not holding any of the above mentioned Certificates, may attend NISM Series V (a): Mutual Fund Distributors CPE Program, on submission of the Required Documents (*as mentioned in (B)*).

*(On the suggestion of AMFI/Mutual Fund Distributors, this eligibility criterion has been included as a temporary measure for the operational ease of Candidates/Mutual Fund Distributors).*

*Note: Candidates can attend the CPE Program not before twelve months prior to the expiry of the said Certificate / ARN Card.*

#### Grandfather by Age Category

Any associated person, other than Principal, who has completed the age of 50 years **as on May 31, 2010**, may attend NISM Series V (a): Mutual Fund Distributors CPE Program under the 'Grandfather by Age Category', on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her age.*

#### Grandfather by Experience Category

Any associated person, other than Principal, having experience of 10 years or more as a distributor, agent or employed or engaged in the sale and/or distribution of Mutual Fund products, **as on May 31, 2010**, may

attend NISM Series V (a): Mutual Fund Distributors CPE Program under the 'Grandfather by Experience Category', on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her age.*

#### **(B) Required Documents for NISM Series V (a): Mutual Fund Distributors CPE Program**

The following Documents need to be verified at the CPE venue for attending the Mutual Fund Distributors CPE Program:

##### **General Category**

1. Copy of PAN Card
2. Copy of valid Certificate (*any of the above mentioned*)/ ARN Card

##### **Grandfathered by Age Category**

1. Copy of PAN Card

##### **Grandfathered by Experience Category**

1. Copy of PAN Card
2. **Proof of Experience**  
A Letter from an [Asset Management Company](#), duly signed and stamped by **Chief Manager (or higher designation)** acknowledging that the participant has 10 years or more than 10 years of work experience in buying/selling/distribution of Mutual Funds, **as on May 31, 2010**

Please note that Candidates are required to **carry in original** the above-mentioned Documents (*under respective Categories*) to the CPE venue for verification in order to obtain admission to NISM Series V (a): Mutual Fund Distributors CPE Program.

## **NISM CPE for Mutual Fund Foundation**

In exercise of the powers conferred by sub-regulation (1) of Regulation (9) of SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007, NISM specifies the Continuing Professional Education Program for '**NISM-Series-V-B: Mutual Fund Foundation Certification Examination**', for the purpose of revalidation of the Certificate.

(Refer SEBI Circular *No. CIR/IMD/DF/21/2012* dated September 13, 2012)

Accordingly, an Associated Person (belonging to the new cadre of Mutual Fund Distributors as may be notified by AMFI/AMC from time to time) holding any of the following Certificates:

(a) NISM Series V (b): Mutual Fund Foundation Certification Examination

(b) NISM Series V (b): Mutual Fund Foundation Continuing Professional Education

and the validity of which has not expired can re-validate his/her Certificate for a period of three years from its date of expiry by successfully completing **NISM Series V (b): Mutual Fund Foundation Continuing Professional Education Program** as specified by NISM during 12 months preceding the date of expiry of the Certificate.

Also, Associated Person belonging to the Grandfather\* Category can obtain a Certificate for the first time by successfully completing NISM Series V (b): Mutual Fund Foundation Continuing Professional Education Program as specified by NISM.

*Note: Associated Person not belonging to the Grandfather Category, whose Certificate has expired, will have to pass the NISM-Series-V-B: Mutual Fund Foundation Certification Examination to obtain a new Certificate.*

### **Design of the CPE Program**

- The CPE Programs shall be delivered in a class-room format.
- NISM has Accredited CPE Providers for the [delivery](#) of the NISM CPE Programs.
- All NISM CPE Programs are of one day duration (approximately six hours).
- A test shall be conducted by the CPE Provider at the end of the Program.

After verifying that Candidates have successfully completed the relevant CPE Program, NISM shall issue a new Certificate for a period of three years from the date of the Program or re-validate an existing Certificate

for a period of three years from its date of expiry.

Note: The content and duration of the CPE Programs shall be specified from time to time, by NISM, for each CPE Program *specific to each Certification Examination.*

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*\*Grandfather: Any associated person, other than Principal, who has completed the age of 50 years as on September 13, 2012, or who belongs to the new cadre of Mutual Fund Distributors mentioned in the Eligibility Criteria can be classified under the Grandfather Category.*

## Depository Operations CPE

### Eligibility Criteria for NISM Series VI: Depository Operations CPE

#### **General Category**

Any person holding any of the following Certificates:

**(a) Examination / CPE Certificate for NISM-Series-VI: Depository Operations Certification Examination**

**(b) Certification in Financial Markets (NSDL–Depository Operations Module) of the National Stock Exchange of India Limited (*before 29th March 2011*)**

**(c) Certification in Depository Operations (NCDO) of the National Securities Depository Limited (*before 29th March 2011*)**

**(d) Certification in Financial Markets (BSE’s Certification on Central Depository) of the Bombay Stock Exchange Limited (*before 29th March 2011*)**

**(e) Certificate on completion of CDSL’s DP Training Program on Central Depository Services (India) Limited (*before 29th March 2011*)**

And the validity of which has not expired may attend NISM Series VI: Depository Operations CPE Program, on submission of the Required Documents (*as mentioned in (B)*).

*Note: Candidates can attend the CPE Program not before twelve months prior to expiry of the said Certificate.*

#### **Principal Category**

Any person who is actively engaged in the management of an Intermediary’s securities business including supervision, solicitation, the conduct of business, and is a Proprietor / Sole Proprietor / Partner / Managing Partner / Chairman / Director / Executive Director / Whole-Time Director / Chief Executive Officer, may attend NISM Series VI: Depository Operations CPE Program under the ‘Principal Category’, on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her designation.*

### **Grandfather by Age Category**

Any associated person, other than Principal, who has completed the age of 50 years **as on March 29, 2011**, may attend NISM Series VI: Depository Operations CPE Program under the 'Grandfather by Age Category', on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her age.*

### **Grandfather by Experience Category**

Any associated person, other than Principal, who has actively engaged or employed by a registered Depository Participant in any of the below mentioned activities:

- (a) Dealing or interacting with clients
- (b) Dealing with securities of clients
- (c) Handling redressal of investor grievances
- (d) Internal control or risk management
- (e) Activities having a bearing on operational risk
- (f) Maintenance of books and records pertaining to the above activities

For 10 years or more, **as on March 29, 2011**, may attend NISM Series VI: Depository Operations CPE Program under the 'Grandfather by Experience Category', on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her experience.*

### **(B) Required Documents for NISM Series VI: Depository Operations CPE**



The following Documents need to be verified at the CPE venue for attending NISM Series VI: Depository Operations CPE Program:

**General Category**

1. Copy of PAN Card
2. Copy of a Valid Certificate (*any of the above mentioned*)

**Principal Category**

1. Copy of PAN Card
2. [Proof of Designation](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the Intermediary

**Grandfather by Age Category**

1. Copy of PAN Card

**Grandfather by Experience Category**

1. Copy of PAN Card
2. [Proof of Experience](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the Depository Participant (*in which the Candidate is currently working*) with Depository

Please note that Candidates are required to **carry in original** the above-mentioned Documents (*under respective Categories*) to the CPE venue for verification in order to obtain admission to the CPE Program.

## Securities Operations and Risk Management CPE

### Eligibility Criteria for NISM Securities Operations and Risk Management CPE

#### General Category

Any person holding any of the following certificates:

- (a) NISM Series VII: Securities Operations and Risk Management Certification Examination
- (b) NISM Series VII: Securities Operations and Risk Management Continuing Professional Education

and the validity of which has not expired, may attend NISM Series VII: Securities Operations and Risk Management CPE Program, on submission of the Required Documents (*as mentioned in (B)*).

*Note: Candidates can attend the CPE Program not before twelve months prior to expiry of the said Certificate.*

#### Principal Category

Any person who is actively engaged in the management of an Intermediary's securities business including supervision, solicitation, the conduct of business, and is a Proprietor / Sole Proprietor / Partner / Managing Partner / Chairman / Director / Executive Director / Whole-Time Director / Chief Executive Officer, may attend NISM Series VII: Securities Operations and Risk Management CPE Program under the '*Principal*' Category, on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her designation.*

#### Grandfather by Age Category

Any associated person, other than Principal, who has completed the age of 50 years **as on December 10, 2010**, may attend NISM Series VII: Securities Operations and Risk Management CPE Program under the '*Grandfather by Age*' Category, on submission of the required documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her age.*

### **Grandfather by Experience Category**

Any associated person, other than Principal, has been associated for 10 years or more with a registered stock-[broker](#) / [trading](#) member/clearing member in recognized stock exchanges, who are involved in, or dealing with assets or funds of investors or clients/redressal of investor grievances / internal control or risk management/activities having a bearing on operational risk approved user Person or sales personnel of the trading members of a Securities Operations and Risk Management Exchange or of the Securities Operations and Risk Management Segment of a recognized stock exchange, **as on December 10, 2010**, may attend NISM Series VII: Securities Operations and Risk Management CPE Program under the 'Grandfather by Experience' Category, on submission of the required documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her experience.*

### **(B) Required Documents for NISM Series VII: Securities Operations and Risk Management CPE**

The following Documents need to be verified at the CPE venue for attending the Securities Operations and Risk Management CPE Program:

#### **General Category**

1. Copy of PAN Card
2. Copy of a valid Certificate (*any of the above mentioned*)

#### **Principal Category**

1. Copy of PAN Card
2. [Proof of Designation](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the Intermediary

#### **Grandfather by Age Category**

1. Copy of PAN Card

#### **Grandfather by Experience Category**

1. Copy of PAN Card
2. [Proof of Experience](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the Intermediary (*in which the Candidate is currently working*) with SEBI / Exchange

Please note that Candidates are required to ***carry in original*** the above-mentioned Documents (*under respective categories*) to the CPE venue for verification in order to obtain admission to NISM's CPE Program for Securities Operations and Risk Management.

## Equity Derivatives CPE

### Eligibility Criteria for NISM Series VIII: Equity Derivatives CPE

#### General Category

Any person holding any of the following Certificates:

- (a) NISM Series VIII: Equity Derivatives Certification Examination (*after January 11, 2013*)
- (b) NISM Series VIII: Equity Derivatives Continuing Professional Education
- (c) Certificate on Derivatives Exchange of Bombay Stock Exchange Limited (*before January 11, 2013*)
- (d) NCFM – Derivative Market ([Dealers](#)) Module of National Stock Exchange of India Limited (*before January 11, 2013*)

and the validity of which has not expired, may attend NISM Series VIII: Equity Derivatives CPE Program, on submission of the Required Documents (*as mentioned in (B)*).

*Note: Candidates can attend the CPE Program not before twelve months prior to expiry of the said Certificate.*

#### Principal Category

Any person who is actively engaged in the management of an Intermediary's securities business including supervision, solicitation, the conduct of business, and is a Proprietor / Sole Proprietor / Partner / Managing Partner / Chairman / Director / Executive Director / Whole-Time Director / Chief Executive Officer, may attend NISM Series VIII: Equity Derivatives CPE Program under the 'Principal Category', on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her designation.*

#### Grandfather by Age Category

Any associated person, other than Principal, who has completed the age of 50 years *as on January 11, 2013*, may attend NISM Series VIII: Equity Derivatives CPE Program under the 'Grandfather by Age' Category, on submission of the Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her age.*

### **Grandfather by Experience Category**

Any associated person, other than Principal, having work experience of 10 years or more as an approved user Person or sales personnel of the trading members of an Equity Derivatives Exchange or of the Equity Derivatives Segment of a recognized stock exchange, *as on January 11, 2013*, may attend NISM Series VIII: Equity Derivatives CPE Program under the 'Grandfather by Experience' Category, on submission of Required Documents (*as mentioned in (B)*).

*Note: A person holding any of the Certificates, mentioned earlier, belongs to the 'General' Category irrespective of his/her experience.*

### **(B) Required Documents for NISM Series VIII: Equity Derivatives CPE**

The following Documents need to be verified at the CPE venue for attending NISM Series VIII: Equity Derivatives CPE Program:

#### **General Category**

1. Copy of PAN Card
2. Copy of a valid Certificate (*any of the above mentioned*)

#### **Principal Category**

1. Copy of PAN Card
2. [Proof of Designation](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the Intermediary

#### **Grandfather by Age Category**

1. Copy of PAN Card

#### **Grandfather by Experience Category**

1. Copy of PAN Card
2. [Proof of Experience](#) (*Click to Download the format*)
3. Copy of Registration Certificate of the Intermediary (in which the Candidate is currently working) with SEBI / Exchange

Please note that Candidates are required to **carry in original** the above-mentioned Documents (*under respective Categories*) to the CPE venue for verification in order to obtain admission to the CPE Program.

