

# 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.