

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.