

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.