

‘Annexure’

Details of Securities Intermediaries Compliance CPE Programme

1) Background

As all Participants are aware, National Institute of Securities Markets (NISM) performs two functions delegated to it under the Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) (SEBI CAPSM) Regulations, 2007. These are:

- a) Offering mandatory certification examinations for associated persons of securities market intermediaries.
- b) Offering Continuing Professional Education (CPE) programmes for associated persons of market intermediaries who are holding valid certificates.

2) Who are Associated persons

Means, persons functioning as **compliance officers** of intermediaries registered with the Board as stock brokers, or **depository participants**, or merchant bankers, or underwriters, or bankers to the Issue, or debenture trustees or credit rating agencies.

3) Valid certificates held by Associated persons

Associated persons of Participants may be holding any one of the following valid 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

4) Eligibility for appearing for CPE programmes :

A) Type I:

Any person holding a certificate as mentioned in point no. 3 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.

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

B) Type II:

Any person 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.

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

C) Type III:

Any person 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.

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

D) Type IV:

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.

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

Documents Needed: For all aforesaid Types the **photocopy** of the following documents need to be submitted:

Type I	Type II	Type III	Type IV
PAN card	PAN Card	PAN Card	PAN Card
Any one of the valid certificate as mentioned in point no. 3 above	Any one of the valid certificate as mentioned in point no. 3 above (<i>not mandatory</i>)	Any one of the valid certificate as mentioned in point no. 3 above (<i>not mandatory</i>)	Any one of the valid certificate as mentioned in point no. 3 above (<i>not mandatory</i>)
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Two photographs	Two photographs	Two photographs	Two photographs

Please note that candidates are required to **CARRY IN ORIGINAL** the above mentioned documents (*as listed for each Type*) to the CPE venue for verification in order to obtain admission to NISM Series III-A: Securities Intermediaries Compliance (Non-Fund) CPE Program.

5) Fee for the CPE Programme

The fee for CPE Programme will be Rs. 2,248 (*Inclusive of service tax*) per person. Participants/Entities are requested to make the payment in advance i.e., prior to commencement of the CPE programme through a **demand draft or pay order in favour of “National Securities Depository Limited” payable at Mumbai.**

Further, Participants/Entities can also make an electronic payment through RTGS or NEFT system. The bank details of NSDL for making RTGS or NEFT payment are as follows:

- a) Bank Name – IDBI Bank Limited
- b) Bank Account Number – 0004103000052429
- c) IFS Code - IBKL0000004

After the payment is done through RTGS or NEFT, Participants/Entities must ensure to send an email at cpe@nsdl.co.in, mentioning the UTR / Transaction number.

6) Registration of officials of Participants/Entities for the CPE Programme

Officials of Participants/Entities will be required to fill- up registration form as enclosed at Annexure I. In addition to this form, Participants/Entities must register the names of their representatives / officials by sending an email at cpe@nsdl.co.in in the format given below :

Category of Candidate	Name of CPE Module / Location & Date	Name of the official	DP ID (If applicable)	Name of the Participant / Entity	email ID of the official	Mobile number of the official	Name of previous certification	Expiry date of previous certificate	Date of Birth

7) Important points to be noted with respect to registration

Officials of Participants/Entities attending CPE programme must ensure as follows :

- Carry the registration form at the training venue and ensure that the registration form is properly filled and have mentioned correct details.
- Carry two photographs, one for affixing on the registration form and another will be collected by NSDL officials. Please mention name and PAN on the back side of the photograph.
- Carry original and self attested photocopy of PAN card.
- NSDL officials will verify the original PAN card with photograph affixed in the form (*i.e., registration form*) and with person concerned at the training venue.
- Carry self attested photocopy of existing certificate [certificate details as mentioned in point no. 3 above].
- Registration form and self attested photocopy of certificate will be retained by NSDL.

Officials of Participants/Entities will be admitted to the CPE programme only after completion of the aforesaid formalities.

8) Other details of the CPE programme

- (i) Address of the venue will be communicated later.
- (ii) 60 persons of Participants/Entities will be accommodated in a single batch.
- (iii) The CPE programme will start at 10.00 am. In this regard, Participants/Entities are requested to reach the venue by 9.00 am for completion of the registration process. Further, the CPE programme will end by 5.00 pm.
- (iv) Breakfast, lunch and high tea will be served during the training programme.
- (v) Training related material will be provided at the training venue.
- (vi) At the end of the program, a candidate evaluation test will be conducted. The evaluation test will paper based test consisting of multiple choice type questions.
- (vii) NSDL may cancel/postpone any of the programmes for lack of enough registrations or any other reason.

9) Delivery of certificates

After due verification and internal process of approval, NISM will dispatch the certificates to the concerned official, who has completed the CPE programme, after around 30 working days.

10) Contact details of NSDL officials

For more information / clarification, Participants may contact the following officials:

Name of the official	Telephone Number	Email address
Mr. Tushar Tambe	(022) 2499 4291	tushart@nsdl.co.in
Ms. Bhuvaneshwari Parasuraman	(022) 2499 4343	bhuvaneshwariv@nsdl.co.in
Mr. Siddharth Ghosh	(022) 2499 4760	siddharth.ghosh@nsdl.co.in
Mr. Ritwik Mohanty	(022) 2499 4231	ritwikm@nsdl.co.in
Mr. Vipin Warke	(022) 2499 4239	vipinw@nsdl.co.in
Mr. Harsh Kotak	(022) 2499 4487	harshk@nsdl.co.in
Mr. Narayan Venkat	(022) 2499 4479	narayanv@nsdl.co.in