To

National Institute of Securities Markets

NISM Bhavan

Plot No 82, Sector 17,

Vashi, Navi Mumbai – 400703 Date: _____

Sub: Application for No Objection Letter for CPE Program under Principal/ Grandfather Category

Name					
Organization					
Official Address					
Designation					
PAN Number					
Category	Principal		Grandfather		
Email id					
Contact Number					

I wish to obtain No Objection Letter from NISM for appearing for the following CPE Program based on the Compliance Officer`s Certificate enclosed herewith.

Program Name:_____

Date: _____ Venue: _____

Further I certify that the above information is correct as per my knowledge and am fully aware that if any information is found to be incorrect / incomplete/ invalid/false/untrue, NISM may cancel/ withhold the NOL and/or CPE certificate issued to me, without notice and/ or demur, and initiate such further action as it deems necessary.

Signature

Name

Formats of Compliance Officers` Certificates for different CPE Segments

and

associated persons categories

1. **Format of Compliance officers' certificate <u>for Principal category</u> of associated person for all CPE segments**

"_____(Name of the 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"

(Certificate issuer may mention appropriate designation while issuing the certificate)

Name of the Compliance officer

Designation,

Organization

Signature

Date

Formats of Compliance Officers` Certificates for different CPE Segments

and

associated persons categories

2. Format of Compliance officers' certificate for Grandfathered category (by experience) of associated person, for CPE – Depository Operations,

"_____ (Name of person) has experience of ____ years (atleast 10 years) in functions listed in SEBI Notification Number LAD-NRO/GN/2010-11/26/10252 as on 29 March 2011, supported by documentary evidence, and is eligible to obtain CPE certificate by attending the NISM-Series-VI: Depository Operations CPE Program, as per sub-regulation (4) of regulation 3 of SEBI (CAPSM) Regulations, 2007"

Name of the Compliance officer

Designation,

Organization

Signature

Date