

Annexure

Details of CPE Programme for Depository Operations

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

Associated Persons means a person or employee of an intermediary or an agent or distributor or other natural person engaged in the securities business and includes an employee of a foreign institutional investor or a foreign venture capital investor working in India.

3) Valid certificates held by Associated Persons

Associated Persons of Participants may be holding any one of the following valid certificates:

- a) NSE's Certification in Financial Markets – NCFM (NSDL - Depository Operations Module).
- b) NSDL's Certification in Depository Operations (NCDO).
- c) BSE's Certification on Central Depository (BCCD).
- d) Certificate on completion of CDSL's DP training programme.
- e) NISM-Series VI- Depository Operations Certification Examination (DOCE).

4) Eligibility for appearing for CPE programmes :

A) Type I - General category:

Any person holding a certificate as mentioned in point no. 3 above and where the validity of such certificate has not expired may appear for NISM's CPE for Depository Operations. Both original and photocopy of the certificate need to be submitted for verification at the time of CPE registration.

B) Type II (a) - Grandfathered by Age category:

Any person who has attained the age of 50 years as on March 29, 2011, whether holding or not holding the certificate as mentioned in point no. 3 above may appear for NISM's CPE for Depository Operations on submission of required documents.

C) Type II (b) - Grandfathered by Experience category:

Any person having work experience of 10 years or more in Depository Operations, as on March 29, 2011, whether holding or not holding a certificate as mentioned in point no. 3 above, may appear for NISM's CPE for Depository Operations on submission of required documents.

D) Type III - Principal category:

Any person who is actively engaged in the management of the intermediary's securities business including supervision, solicitation, conduct of business, and includes:

- Proprietors Proprietor / Sole Proprietor, or
- Partner / Managing Partner, or
- Chairman, or
- Whole Time Directors, or
- Executive Director / Director, or
- Chief Executive Officer

can be classified under the Principal category. Such persons, whether holding or not holding any of the five certificates as mentioned in point no. 3, may appear for NISM's CPE Program for Depository Operations under the Principal category, on submission of the required documents.

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

Type I - General category	Type II(a) - Grandfathered by Age category	Type II(b) - Grandfathered by Experience category and Type III - Principal category
Self attested photocopy of PAN card	Self attested photocopy of PAN card	Self attested photocopy of PAN card

Type I - General category	Type II(a) - Grandfathered by Age category	Type II(b) - Grandfathered by Experience category and Type III - Principal category
Any one of the valid certificate as mentioned in point no. 3 above.	-----	-----
		Candidate shall obtain the Compliance Officers' certificate from the Compliance Officer of his/her current employer and send the same to NSDL for pre-verification (<i>format enclosed at Annexure II</i>). NSDL, after verification of the certificate, will satisfy itself that the required certificate constitute requisite experience in case of Grandfathered (by experience) i.e. Type II (b). Please note that the candidate should have 10 years experience as on March 29, 2011.
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's CPE for Depository Operations.

Please note that candidates belonging to Type I above can appear for NISM's CPE for Depository Operations not before twelve months prior to expiry of the said certificate.

5) Fee for the CPE Programme

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

The bank details of NSDL for making RTGS or NEFT payment are as follows:

- Bank Name – IDBI Bank Limited
- Bank Account Number – 0004103000052429
- IFSC Code - IBKL0000004

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

In case official of Participants wish to handover the demand draft / pay order at the training venue, the same can be done. In such a case, the concerned official must mention his/her name, name of the Participant and DP ID on the backside of the demand draft / pay order.

6) Registration of officials of Participants for the CPE Programme

Officials of Participants will be required to fill- up registration form as enclosed at Annexure I. In addition to this form, Participants 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	Location & Date	Name of the official	DP ID	Name of the Participant	email ID of the official	Mobile number of the official	Name of previous certification on	Expiry date of previous certificate	Date of Birth

7) Important points to be noted with respect to registration

Officials of Participants 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 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 and PAN will be retained by NSDL.

Officials of Participants 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 will be accommodated in a single batch.
- (iii) The CPE programme will start at 10.00 am. Participants are requested to reach the venue by 9.00 am for completion of the registration process. 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 be paper based test consisting of multiple choice questions.
- (vii) NSDL may cancel/postpone any programme 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 person 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
Ms. Romadeep Chakraborty	(022) 2499 4556	romadeepd@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