



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/TRANG/2020/105

February 26, 2020

### TRAINING SCHEDULE FOR CONTINUING PROFESSIONAL EDUCATION (CPE) PROGRAMME OF NISM – DEPOSITORY OPERATIONS

CDSL is pleased to inform the Depository Participants that CDSL will conduct one day CPE programme for Depository Operations as per the following schedule:

| Sr. No. | Location | Programme Date | Day    | Last date for registration     |
|---------|----------|----------------|--------|--------------------------------|
| 1.      | Kolkata  | 13/03/2020     | Friday | 11/03/2020<br>[Till 6.00 p.m.] |

Registrations for the programme can be done at <https://certifications.nism.ac.in/nismaol/>. The detailed procedure for registration for the programme is enclosed as Annexure A.

Kindly note that with effect from April 18, 2017, for all registrations, Aadhar Number, Aadhar Card Scanned Image is being made mandatory, in addition to PAN Card Scanned Image, PAN Number and Candidate Photograph as required earlier. All Fresh Registrations received on NISM Certification Portal will be approved manually by NISM. Only after approval of registration by NISM, candidates will be able to enroll for NISM Certification Examination / CPE / eCPE. Already registered candidates will be allowed to enroll for NISM Certification Examination / CPE / eCPE, but certificate will be approved only after registration is approved by NISM (i.e. updating Aadhar Number, Aadhar Card, PAN Number, PAN Card, etc.). The timeline for approving candidates' profile would be 3working days.

Queries regarding this communiqué may be addressed to **CDSL** – Ms. Ruchi Patil or Ms. Priyanka Ayare on (022) 2305-8502, 2305-8638. Emails may be sent to: [cpe@cdslindia.com](mailto:cpe@cdslindia.com).

sd/-

**Umesh Kambli**  
Asst. Vice President - Operations

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## Details of CPE Programme

### 1. Eligibility for appearing for CPE programmes :

#### A) General Category

Any person holding a valid certificate as mentioned below, which is due to expire within the next twelve months and wishing to renew validity of the certificate for another three years from the date of expiry of the certificate may appear for NISM's CPE for Depository Operations.

#### List of valid certificates:

- a. Certificate on completion of CDSL's DP training programme on Central Depository Services (India) Limited.
- b. BCCD i.e., BSE's Certification in Financial Markets (BSE's Certification on Central Depository) of the Bombay Stock Exchange Limited.
- c. NISM Series VI- Depository Operations Certification Examination (DOCE).
- d. NCFM i.e., NSE's Certification in Financial Markets (NSDL - Depository Operations Module) of the National Stock Exchange of India Limited.
- e. NCDO i.e., NSDL's Certification in Depository Operations of the National Securities Depository Limited.

#### B) Principal Category

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

- a. Sole Proprietors or
- b. Managing Partners or
- c. Chairman or
- d. Whole Time Directors or
- e. Executive Director/Director or
- f. Chief Executive Officer

can be classified under the Principal category.

Such persons belonging to the Principal category may appear for NISM's CPE Program for Depository Operations under the Principal category, on submission of the required documents.

#### C) Grandfathered by age category

Any person who has completed the age of 50 years as on March 29, 2011 may appear for NISM's CPE Program for Depository Operations under the Grandfather category, on submission of the required documents.

**D) Grandfathered by experience category**

Any person who has been actively engaged or employed by a registered Depository Participant in any of the below mentioned activities:

- i. Dealing or interacting with clients
- ii. Dealing with securities of clients
- iii. Handling redressal of investor grievances
- iv. Internal control or risk management
- v. Activities having a bearing on operational risk
- vi. Maintenance of books and records pertaining to the above activities

for 10 years or more, as on March 29, 2011 may appear for NISM's CPE Program for Depository Operations under the Grandfather category, on submission of required documents.

**2. Registration Process for CPE Programmes**

Registrations for the programme can be done on <https://certifications.nism.ac.in/nismaol/>

To get yourself registered and enrolled you are requested to refer to the OCRES User Manual and follow the procedure as mentioned. (**Refer Annexure – D**).

**A) Documents required to be presented for registration at the training venue:**

The following documents, needs to be submitted at the training venue for completion of registration process.

**a. General category**

1. Print out of the application form generated online
2. Self attested copy of PAN Card (with original for verification)
3. Two recent Passport-size Photographs
4. Self attested copy of a valid certificate as mentioned in point 1. A (with original for verification)

**b. Principal category**

1. Print out of the application form generated online
2. Self attested copy of PAN Card (with original for verification)
3. Two recent Passport-size Photographs
4. Intermediary's copy of Registration with SEBI
5. Certified copy of **Annexure –B - Proof of Designation** on Letterhead of Broker / Trading Member / Depository Participant

**c. Grandfathered by age category**

1. Print out of the application form generated online
2. Self attested copy of PAN Card (with original for verification)
3. Two recent Passport-size Photographs
4. In case the date of birth is not mentioned on the PAN card, then a self attested copy of any other document evidencing date of birth should be provided along with original for verification.

**d. Grandfathered by Experience category**

1. Print out of the application form generated online
2. Self attested copy of PAN Card (with original for verification)
3. Two recent Passport-size Photographs
4. Intermediary's copy of Registration with SEBI
5. Certified copy of **Annexure – C - Proof of Experience for NISM Series VI: Depository Operations** on Letterhead of Broker / Trading Member / Depository Participant

**3. Other details of the CPE programme**

- i. Please note that candidates are required to carry original documents (as mentioned under respective categories under point 2c.) to the CPE venue for verification in order to obtain admission to NISM's CPE Program for Depository Operations.
- ii. Only 60 participants will be accommodated in a single batch for any CPE programme.
- iii. CPE programme for Depository Operations is a one day training programme followed by a candidate evaluation test consisting of multiple choice type questions.
- iv. Refreshments and lunch will be served during the training programme.
- v. Training material will be available at the training venue.

**4. Delivery of certificates**

NISM will dispatch certificates to candidates, subject to the candidate clearing evaluation test and after due verification and internal process of approval within 30 working days from the date of training.

**5. Contact Details**

For more information / clarification, Participants may contact CDSL Training Department on (022) 2305-8502 or 2305-8638 or NISM helpline on +9122 6111 5555. Emails may be sent to: [cpe@cdslindia.com](mailto:cpe@cdslindia.com).

**PRINCIPAL CATEGORY**

**Proof of Designation  
on Letterhead of Broker / Trading Member / Depository Participant**

“This is to certify that **(Name of person)**, designated as: *(tick the appropriate box)*

|                                      |  |
|--------------------------------------|--|
| <b>Proprietor / Sole Proprietor</b>  |  |
| <b>Partner / Managing Partner</b>    |  |
| <b>Chairman</b>                      |  |
| <b>Whole Time Director</b>           |  |
| <b>Executive Director / Director</b> |  |
| <b>Chief Executive Officer</b>       |  |

of **(Name of the Intermediary)**, whose copy of Registration with SEBI / Exchange is enclosed herewith, and is 'Principal' as per SEBI (CAPSM) Regulation 2007, Sub regulation 2 (k) and is eligible to obtain the CPE Certificate by attending the CPE Program, as per sub-regulation (2) of regulation 4 of SEBI (CAPSM) Regulations, 2007

**“I am aware that NISM may seek further clarification (if required) and that the Certificate of the Candidate shall be issued only on finding the above information to be authentic”**

**Name of Compliance Officer:**

**Signature of Compliance Officer:**

\*\*\*\*\*

**Note: The following is NOT a part of the Certificate and shall not be included in the same. This is only for clarification purpose.**

**1) In case of Intermediaries With A Compliance Officer:**

If the Candidate (Associated Person) is from an Organization (Trading Member / Depository Participant) having a Compliance Officer, this Certificate SHOULD BE SIGNED BY THE COMPLIANCE OFFICER ONLY. Further, the Registration Certificate of the Intermediary (Trading member/DP) should be enclosed.

**2) In case of Intermediaries Without A Compliance Officer:**

If the Candidate (Associated Person) is an Authorized Person or from a Sub-broker or any other Intermediary not having a Compliance Officer, this Certificate SHOULD BE SIGNED BY THE COMPLIANCE OFFICER OF THE TRADING MEMBER with whom the Authorized Person or Sub-broker or the Intermediary is associated with. Further, the Registration Certificate of the Candidate's Intermediary (Authorized Person/Sub-broker/any other Intermediary) should be enclosed.

**GRANDFATHERED BY EXPERIENCE CATEGORY****Proof of Experience for NISM Series VI: Depository Operations  
(On the letterhead of a registered Depository Participant)**

“This is to certify that ***(Name of the Candidate)***, who is currently employed with us, has a total experience of ***(number of years)*** years and ***(number of months)*** months, as on 29<sup>th</sup> March 2011, in registered Depository Participant(s) in 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

and is eligible to obtain the 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.

The details of his/her experience are as follows: *(include rows if required)*

| S. No | Name of the Intermediary / Depository Participant | SEBI/Exchange Registration Number of the Intermediary | Date/Month and Year of Joining | Date/Month and Year of leaving | Total Years and months of Experience |
|-------|---|---|--------------------------------|--------------------------------|--------------------------------------|
| 1     |   |   |                                |                                |                                      |
| 2     |   |   |                                |                                |                                      |
| 3     |   |   |                                |                                |                                      |

**“I am aware that NISM may seek further clarification (if required) and that the Certificate of the Candidate shall be issued only on finding the above information to be authentic”**

Enclosure: Registration Certificate of the Depository Participant *(where the Candidate is currently employed)* with Depository.

**Name of the Compliance Officer:**

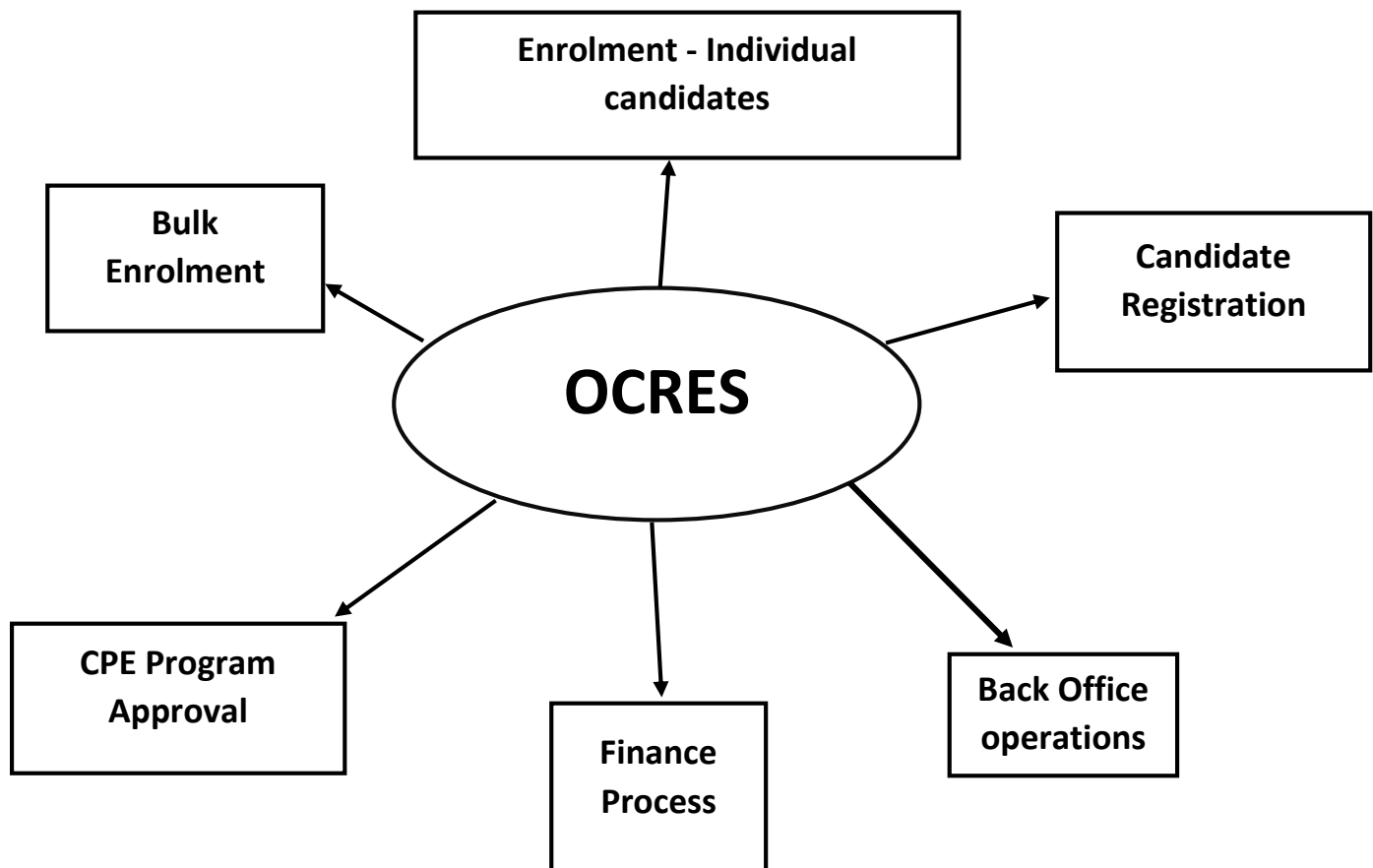
**Signature of the Compliance Officer:**

# Online CPE Registration and Enrolment System (OCRES)

## User Manual

### Introduction

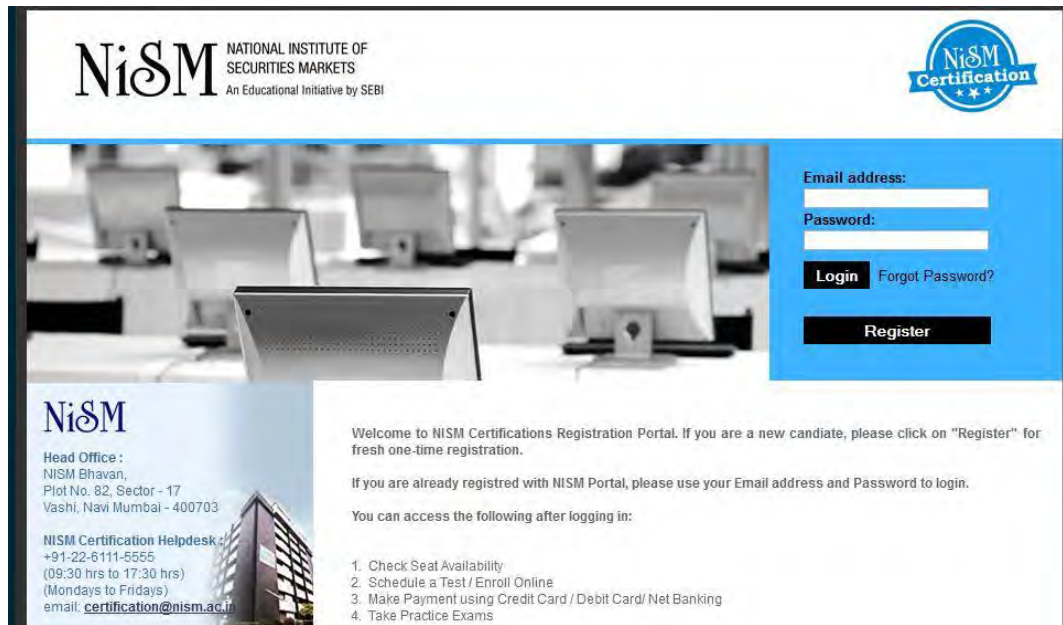
This manual guides the users through the entire online process of certification in Continuing Professional Education (CPE) Programmes. There are three broad categories of users i.e. General Public, CPE Service Providers and NISM CPE Administration Team who use various segments of the said online process. The rest of the sections provide a step-by-step guidance on each of the key functionalities of OCRES mentioned below.



## 1. Registration

Candidates can register by typing following URL in the browser <https://certifications.nism.ac.in/nismaol/>

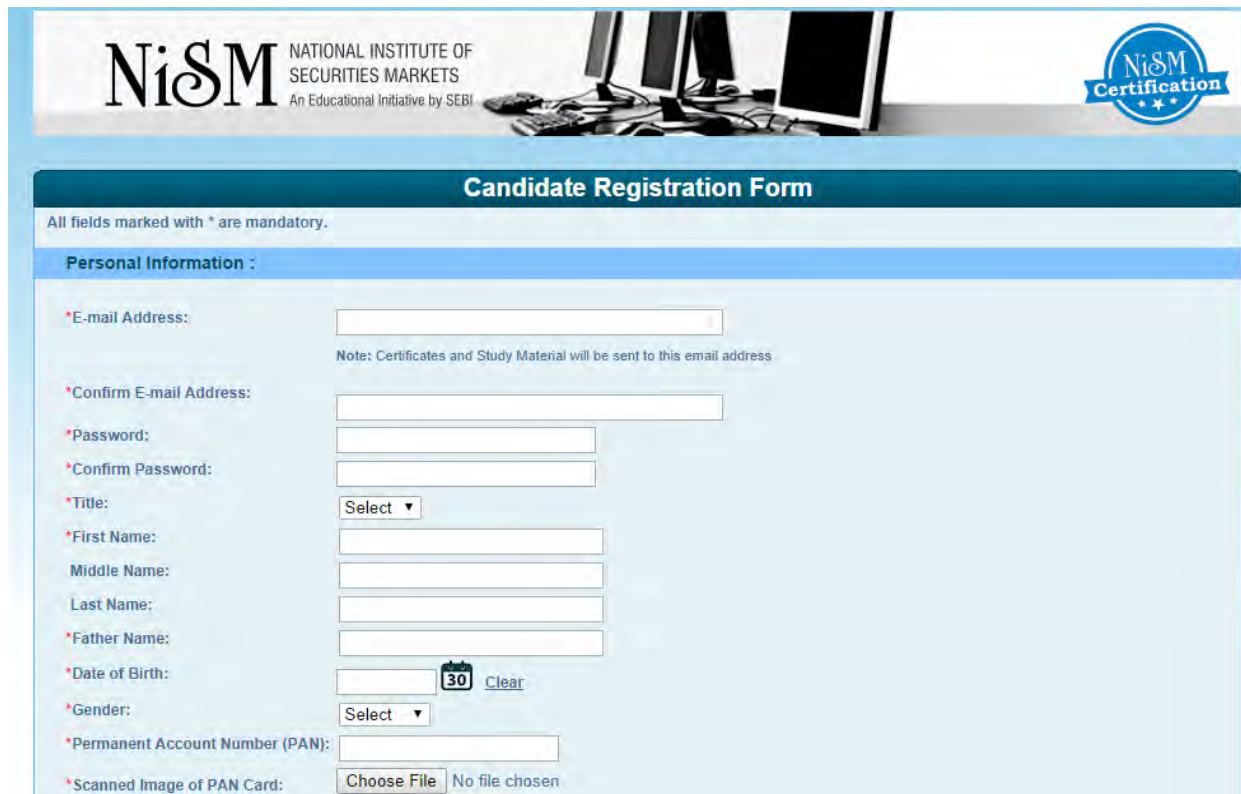
The login screen (Screen-1) as given below appears and the User will click on Register button.



The screenshot shows the NISM Certifications Registration Portal. At the top left is the NISM logo with the text "NATIONAL INSTITUTE OF SECURITIES MARKETS" and "An Educational Initiative by SEBI". At the top right is the "NISM Certification" logo. The main content area features a blue header with a background image of computer monitors. On the right side of this header, there are input fields for "Email address:" and "Password:", a "Login" button, a "Forgot Password?" link, and a "Register" button. Below the header, there is a section with the NISM logo and contact information: "Head Office : NISM Bhavan, Plot No. 82, Sector - 17 Vashi, Navi Mumbai - 400703", "NISM Certification Helpdesk : +91-22-6111-5555 (09:30 hrs to 17:30 hrs) (Mondays to Fridays) email: [certification@nism.ac.in](mailto:certification@nism.ac.in)", and a list of services: "1. Check Seat Availability", "2. Schedule a Test / Enroll Online", "3. Make Payment using Credit Card / Debit Card/ Net Banking", "4. Take Practice Exams". A welcome message states: "Welcome to NISM Certifications Registration Portal. If you are a new candidate, please click on 'Register' for fresh one-time registration. If you are already registered with NISM Portal, please use your Email address and Password to login. You can access the following after logging in:"

Screen-1

The system displays the following form for user to fill in. The user will fill in the form and click on "Submit" button.



The screenshot shows the "Candidate Registration Form" on the NISM website. At the top left is the NISM logo with the text "NATIONAL INSTITUTE OF SECURITIES MARKETS" and "An Educational Initiative by SEBI". At the top right is the "NISM Certification" logo. The form title is "Candidate Registration Form". Below the title, it states "All fields marked with \* are mandatory." The form is divided into sections: "Personal Information :". The fields include: "\*E-mail Address:" (text input), "Note: Certificates and Study Material will be sent to this email address", "\*Confirm E-mail Address:" (text input), "\*Password:" (text input), "\*Confirm Password:" (text input), "\*Title:" (dropdown menu with "Select" option), "\*First Name:" (text input), "Middle Name:" (text input), "Last Name:" (text input), "\*Father Name:" (text input), "\*Date of Birth:" (calendar icon showing "30" and "Clear" button), "\*Gender:" (dropdown menu with "Select" option), "\*Permanent Account Number (PAN):" (text input), and "\*Scanned Image of PAN Card:" (file upload button "Choose File" and "No file chosen").

Aadhaar Number:

Passport Number:

\*Photo:  No file chosen [Click here to view Photograph Specifications](#)

In case you do not upload a photograph, it is mandatory to carry two passport size color photographs to the examination centre.

Alternate Email Address:

**Contact Information :**

Please provide accurate address for proper dispatch of workbooks/certificates.

\*Address Line 1:

Address Line 2:

Address Line 3:

\*City:

\*Pincode:  [Search Pincode \(India Only\)](#)

\*State:

\*Country:

Tel. Residence: ISD: +  STD:  Phone:

\*Mobile Phone: ISD: +  Mobile:

**Educational Qualification Details:**

\*Educational Qualification:

**Professional Details:**

Professional Qualification:  Institute/University:  Year Of Passing:  Percentage/Grade:

**Occupational Details:**

\*Occupation:

\*Total Experience (In years):

Please enter the verification code as it is shown in the image alongside.

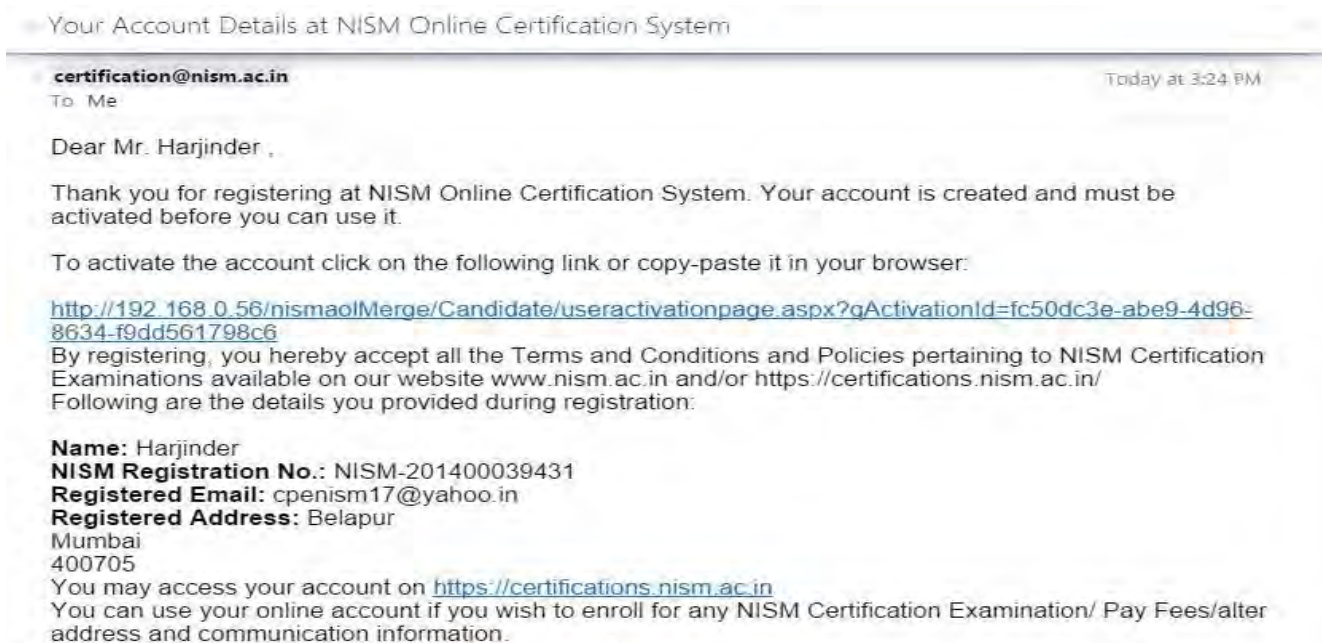


I agree that all the above information provided by me is true to the best of my knowledge. I certify that all the above information provided by me is true to the best of my knowledge. I am aware that if any of any of the above information is found to be incorrect/incomplete NISM may take disciplinary action including withdrawal of certificate.

[Disclaimer](#) | [Terms & Conditions](#) | [Contact Us](#) | [Privacy Policy](#) | [Refund Policy](#)

Screen-2

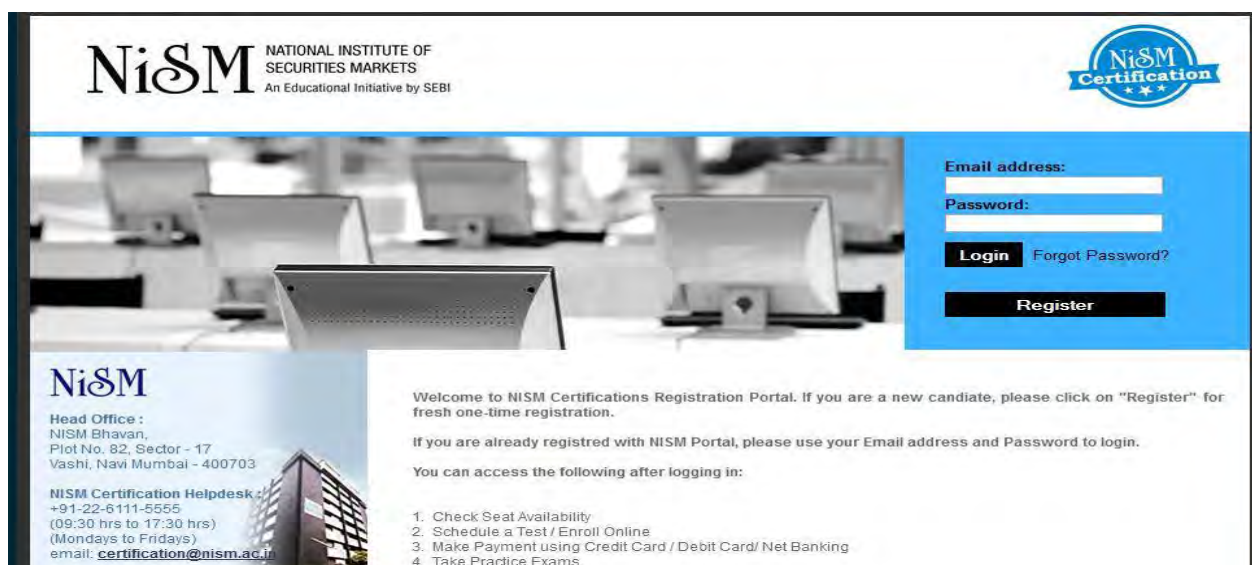
On submission of the form, the system will email an activation link to the registered e-mail id. A sample of the email message is given below (Screen-3). The candidate will click on the activation link given in the email to activate his account. This marks the end of registration process.



Screen-3

## 2. Enrolment

The Candidate will type the URL <https://certifications.nism.ac.in/nismaol/> in the browser to enroll for a CPE program. The system displays the following screen to allow the candidate to log into the system. It is important to note that the candidates must register (if not already registered) before enrolling for any program. The registration is a 'one time' activity.



Screen-4

The candidate will enter the registered email id and password and click on login button. The following screen appears for the candidate to kick start the enrolment process.



Screen-5

The Candidate clicks to the “Enrolment” tab (provided on the left hand side of the screen) and then selects the menu option “Enrolment for CPE/e-CPE”.

Candidate now has to select the module name and category of candidature (Normal, Grandfather by age, Grandfather by experience) and then click on “Next” button. See the screen below



Screen-6

The system prompts the candidate to upload the necessary documents as per the chosen category of the candidature and module. The following screens (Screen-7 to Screen-12) present the type of documents required based on the chosen module and type of candidature.

Please note that type of documents required to be uploaded depends only on type of candidature except for “Mutual Fund”

## For Mutual Fund Program

If candidature is normal

The screenshot shows the NiSM OCRES portal interface. At the top, there is a header with the NiSM logo and the text 'NATIONAL INSTITUTE OF SECURITIES MARKETS An Educational Initiative by SEBI'. A 'NiSM Certification' badge is also visible. The user is logged in as 'Harjinder' with a 'Last Login' time. The left sidebar contains navigation options: Home, Logout, Edit Profile, Practice Examinations, Enrolment (selected), Enrollment for Certification, View/Reschedule Enrolment, My Enrolments, Enrollment for CPE/ e-CPE, My Examination/CPE/eCPE, My Transactions, and FAQs. The main content area is titled 'Document Upload' and shows the 'Category' as 'Normal'. It includes a 'Note' section with three points: 1. Only image files (JPG, JPEG, PNG, PDF) are allowed. 2. The maximum file size for upload is 1 MB. 3. If you do not furnish the original previous certificate to the CPE Service provider, the renewal certificate will not be issued to you. Below the note, there are three document upload sections for 'Group A': 'Copy of valid passing certificate', 'Copy of valid CPE or Refresher certificate', and 'AMFI Registration Number (ARN) Card'. Each section has a 'Browse...' button, an 'Upload' button, and input fields for 'Certificate No.' and 'Certificate Expiry Date'. A note at the bottom states: '\*Note: For group A out of 3 documents, at least one document is mandatory.'

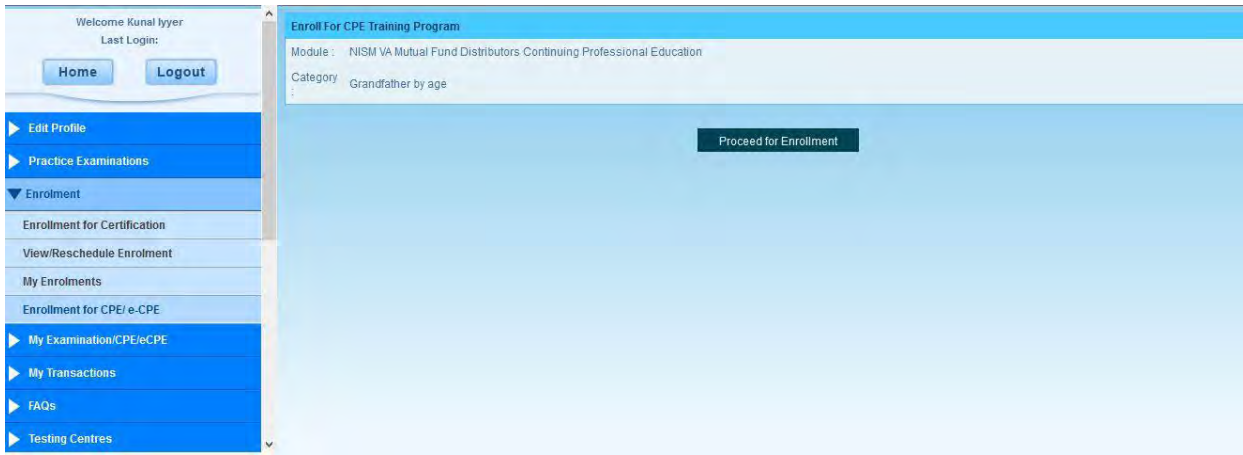
Screen-7

If candidature is Grandfather by experience

The screenshot shows the NiSM OCRES portal interface for 'Grandfather by experience' candidature. The user is logged in as 'Harjinder'. The left sidebar is the same as in Screen-7. The main content area is titled 'Document Upload' and shows the 'Category' as 'Grandfather by experience'. It includes a 'Note' section with three points: 1. Only image files (JPG, JPEG, PNG, PDF) are allowed. 2. The maximum file size for upload is 1 MB. 3. If you do not furnish the original previous certificate to the CPE Service provider, the renewal certificate will not be issued to you. Below the note, there is a section for 'Individual' with a text input field containing 'AMIC or NDH or RTA-MF-Letter of Experience'. There is a 'Browse...' button and an 'Upload' button. At the bottom, there is a checkbox labeled '\* Confirm Documents'. A 'Proceed for Enrollment' button is located at the bottom center of the page.

Screen-8

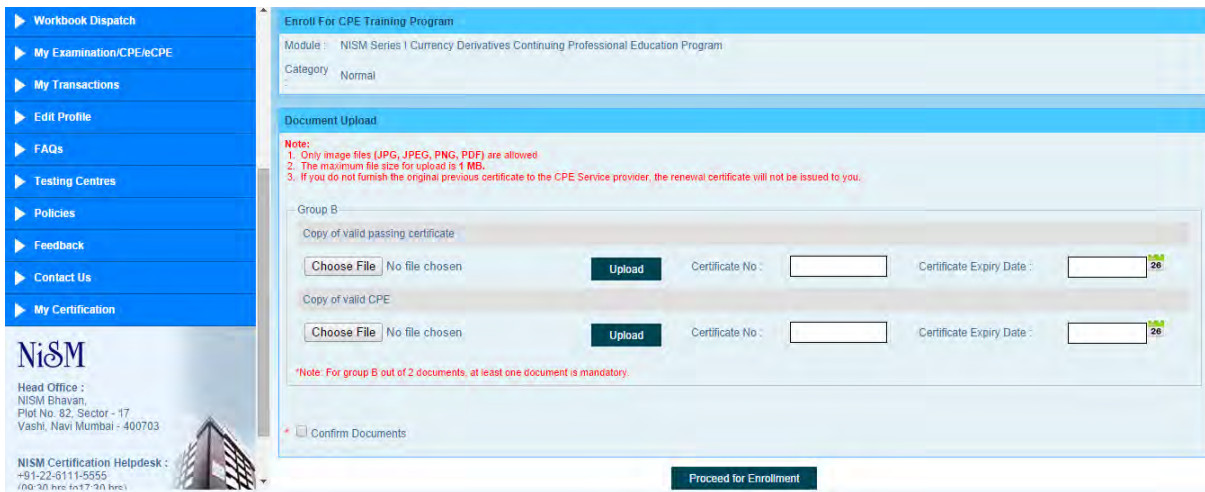
If candidature is Grandfather by Age



Screen-9

For other Programs

If candidature of candidate is Normal then



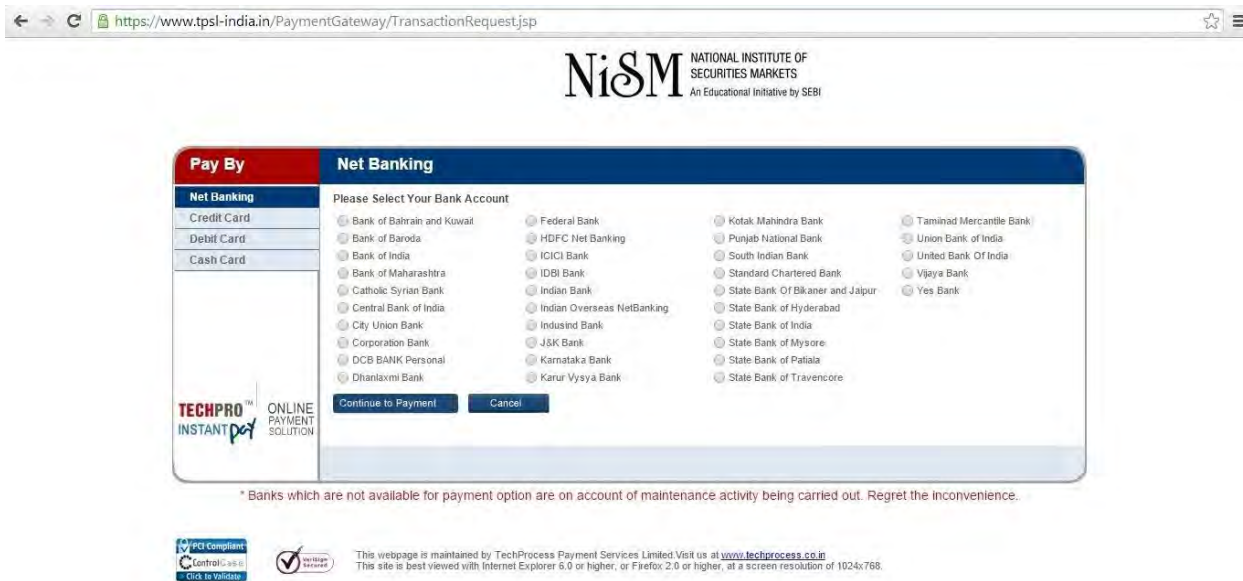
Screen-10

If candidature is Principal



Screen-13

After selecting the location and program date, the candidate clicks on “Process Payment” button. The system takes the candidate through the payment gateway for online payment now can do payment through any payment gateway online. After payment is processed, candidate will get his/her admit card.



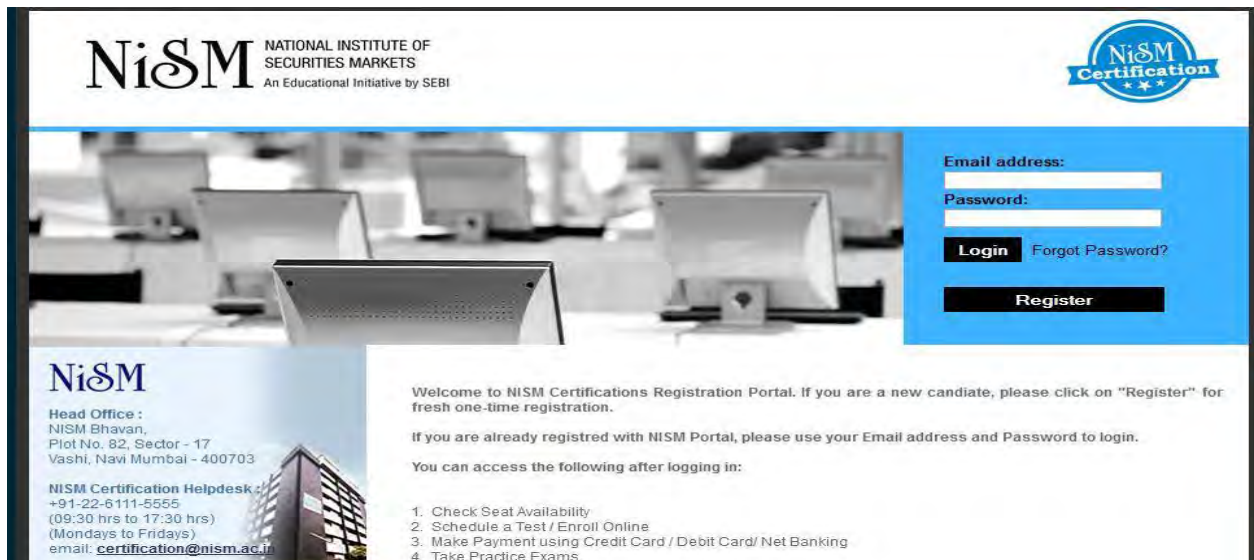
Screen-14



Screen-15

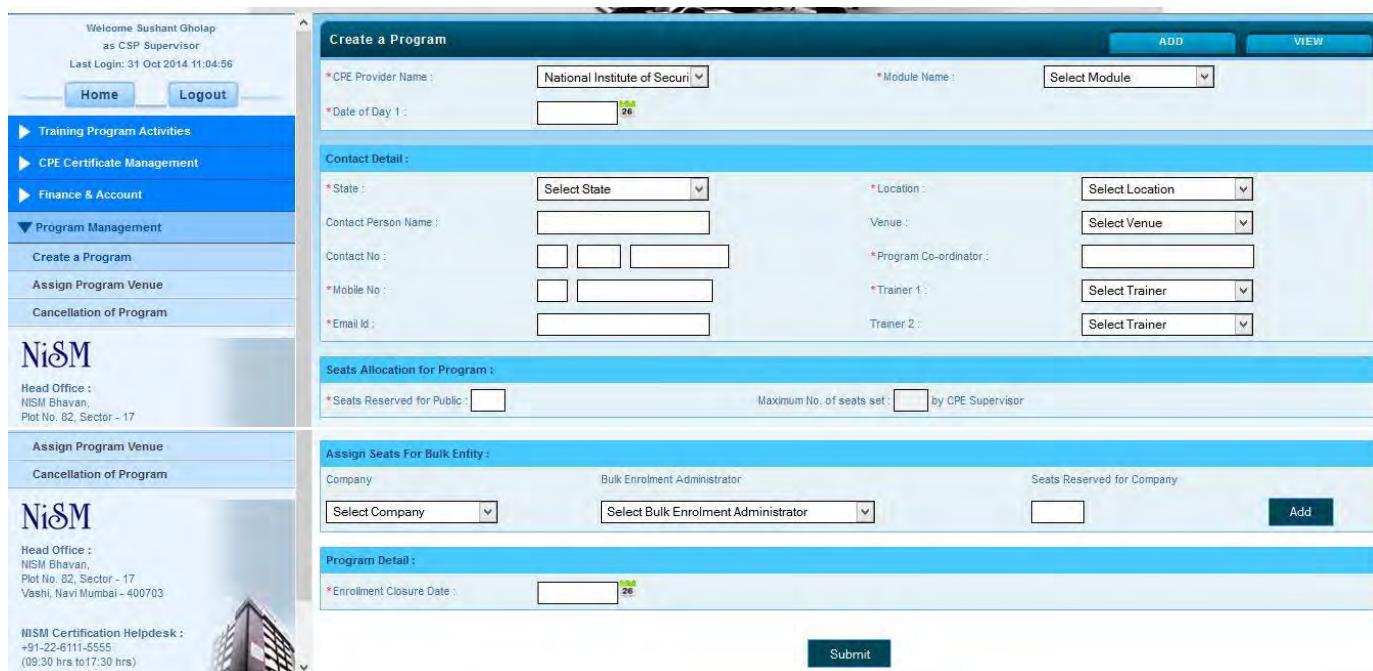
**3. Bulk enrolment**

The Bulk Administrators and CSP Coordinators will type the URL <https://certifications.nism.ac.in/nismaol/> in the browser to carry out their respective roles in the Bulk Enrollment process. The system displays the login screen (screen-16). User is required to type his/her e-mail address as user-id and then the password.



Screen-16

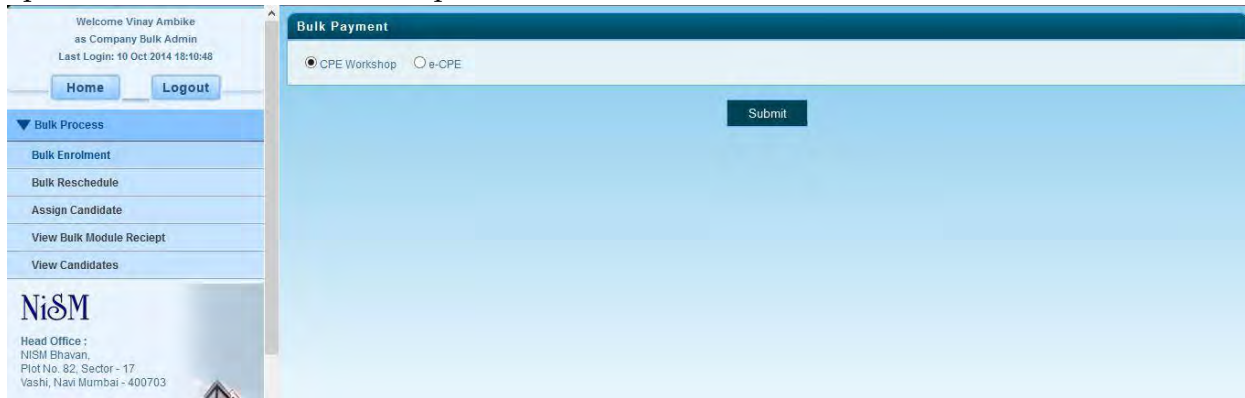
If the user is a CSP supervisor then the following screen (Screen-17) will be displayed. The CSP Supervisor is now required to submit the details of a bulk program online. He/She will therefore click on "Create a Program" menu option under the "Program management" Tab in the following screen (Screen-17). The CSP supervisor will enter the number of seats for bulk enrolment along with various other details of the program and submit it.



Screen-17

Upon submission of a program as mentioned above, the CPE Supervisor at NISM will be required to approve it online before the Bulk Administrator at the concerned organization carries out the enrolment process. The Program approval process carried out by CPE Supervisor is narrated in Section-4.

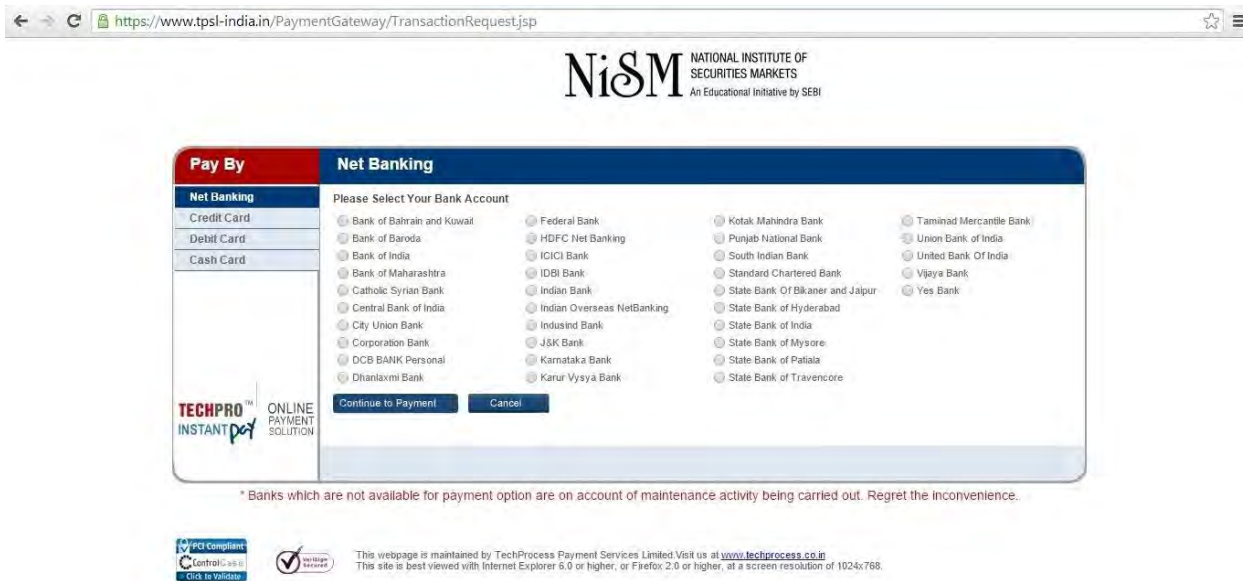
Once the program is approved by the CPE Supervisor at NISM, the Bulk Administrator can start the enrolment process. The Bulk Administrator will login to the system and find the following screen (Screen-18). He/She will click on “Bulk Enrolment” option. The system will prompt the user to select CPE workshop option. The user will select this option and click on “Submit” button.



The Bulk administrator will now be able to select the programs (Screen-19). After selection of a program, he/she will click on “Process Payment” button to make payment for bulk enrolments.



Bulk Administrator can now make payment through Net banking interface (Screen – 20) shown below.



Screen-20

The Bulk administrator can view the payment records by clicking on “View Bulk Module Receipt” menu option (see Screen -21 given below).



Screen-21

After successful payment, Bulk Administrator can assign candidates by clicking “Assign Candidate” menu option. Bulk Administrator can search for candidates by entering PAN number or First name and then by clicking “Search” Button (Screen-22). The candidate details will appear (as shown in Screen-21) if the candidate has already registered himself/herself into the system. After “Search” button is pressed, system shows list of available candidates. User will then select candidate from the list and then will click on “Assign Candidate”. This activity is repeated until all candidates are assigned to the chosen program. Screen-22 shows already assigned candidates. The screen showing the search result as mentioned above allowing the user to select a candidate and assign him/her to a program will be added later

Welcome Vinay Ambike as Company Bulk Admin  
Last Login: 25 Sep 2014 15:24:19

Home Logout

**Bulk Process**

- Bulk Enrolment
- Bulk Reschedule
- Assign Candidate
- View Bulk Module Receipt
- View Candidates

**NISM**  
Head Office : NISM Bhavan, Plot No. 82, Sector - 17, Vashi, Navi Mumbai - 400703  
NISM Certification Helpdesk : +91-22-6111-5555

**Assign Candidate for CPE Workshop-CPE**

PAN No:  First Name:  Seats Available: 0

Note: Candidate's whose Registration Status is OK can be assigned to CPE.  
Registration Status is not OK if the following information is missing from the Candidate's Profile:  
1) Photograph 2) PAN Scan 3) PAN No.

**Previously Assigned Candidate**

| Sr. No. | PAN No     | First Name | Last Name | Reg.No            | Emailid            | Enrollment Number | Enrolled |
|---------|------------|------------|-----------|-------------------|--------------------|-------------------|----------|
| 1       | ABMPJ3949E | Rekha      | Jain      | NISM-201400039409 | cpenism5@gmail.com | 1400041423        | Yes      |
| 2       | ABFPK1428G | LATA       | KIMMATKAR | NISM-201400039408 | cpenism4@gmail.com | 1400041422        | Yes      |

Screen-22

The Bulk administrator can see list of candidates assigned to a given program by clicking on “View Candidates” menu option in Screen – 23 given below. The administrator will search for the program (s) based on CSP, Module, Program Date, Status and Location. The System will display the search result. The Bulk administrator can see the list of candidates of a specific program by clicking on “View Button”. The list of candidates appears as shown in Screen-24.

Welcome Vinay Ambike as Company Bulk Admin  
Last Login: 10 Oct 2014 18:18:48

Home Logout

**Bulk Process**

- Bulk Enrolment
- Bulk Reschedule
- Assign Candidate
- View Bulk Module Receipt
- View Candidates

**NISM**  
Head Office : NISM Bhavan, Plot No. 82, Sector - 17, Vashi, Navi Mumbai - 400703  
NISM Certification Helpdesk :

**View Candidates**

CSP:  Module:

Program Date: From Date:  To Date:

Status:  Location:

Total Records : 3

**List of Candidates**

| Program Code                        | Module Name  | Seats Assigned for company |                                     |
|-------------------------------------|--|----------------------------|-------------------------------------|
| NISMMFDCPE/1/27-Sep-2014/Mumbai     | NISM VA Mutual Fund Distributors Continuing Professional Education | 2                          | <input type="button" value="View"/> |
| NISMMFDCPE/10/27-Oct-2014/Vashi     | NISM VA Mutual Fund Distributors Continuing Professional Education | 20                         | <input type="button" value="View"/> |
| NISMMFDCPE/7/30-Sep-2014/Chandrapur | NISM VA Mutual Fund Distributors Continuing Professional Education | 10                         | <input type="button" value="View"/> |

Screen-23

Welcome Vinay Ambike as Company Bulk Admin  
Last Login: 28 Sep 2014 14:43:57

Home Logout

**Bulk Process**

- Bulk Enrolment
- Bulk Reschedule
- Assign Candidate
- View Bulk Module Receipt
- View Candidates

**NISM**  
Head Office : NISM Bhavan, Plot No. 82, Sector - 17, Vashi, Navi Mumbai - 400703

**List of Candidates**

CSP: National Institute of Securities Markets Program Date: Day1 :27/09/2014

Module: NISM VA Mutual Fund Distributors Continuing Professional Education Location: Mumbai

No. of Seats : 2 Assigned Seats : 2 No. of Enrolled Seats : 2 Pending Enrollments : 0

|   | Registration No   | Candidate Name | PAN No     |
|---|-------------------|----------------|------------|
| 1 | NISM-201400039409 | Rekha Jain     | ABMPJ3949E |
| 2 | NISM-201400039408 | LATA KIMMATKAR | ABFPK1428G |

Screen-24