



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/TRNG/678

November 21, 2023

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

CDSL is pleased to inform the Depository Participants that one day CPE programme for Depository Operations is scheduled as below:

Sr. No.	Location	Programme Date	Day	Last date for registration
1	Kochi	09/12/2023	Saturday	07/12/2023 [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 3 working days.

All the CPE participants to follow Covid-19 protocols if any, in the state while attending the CPE training programme.

Queries regarding this program may be addressed to CDSL – Training - (022) 2305 8735 / 8768. Emails may be sent to:training@cdslindia.com

sd/-

Tejasi Mendon
Senior Manager - BD

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 people 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) 2305-8735 or 2305-8768 or NISM helpline on +9122 6111 5555. Emails may be sent to: training@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)*

Proprietor / Sole Proprietor	
Partner / Managing Partner	
Chairman	
Whole Time Director	
Executive Director / Director	
Chief Executive Officer	

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 29th 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: