

2. पोर्टफोलियो प्रबंधक यह सुनिश्चित करेंगे कि ऐसे सभी सहयुक्त व्यक्ति, जो इस अधिसूचना की तारीख तक की स्थिति के अनुसार मुख्य अधिकारी हों या ऐसे कर्मचारी हों जिनके पास निधि प्रबंधन (फंड मैनेजमेंट) से जुड़े निर्णय लेने का प्राधिकार हो, इस अधिसूचना की तारीख से दो वर्षों के भीतर "रा.प्र.वा.सं. - श्रृंखला-XXI-ख: पोर्टफोलियो प्रबंधक प्रमाणीकरण परीक्षा" को उत्तीर्ण किए जाने का प्रमाणीकरण प्राप्त कर लें:
- परंतु यह कि जो पोर्टफोलियो प्रबंधक, इस अधिसूचना की तारीख के बाद, ऐसे किसी सहयुक्त व्यक्ति को नियुक्त आदि करता है जो मुख्य अधिकारी हो या ऐसा कर्मचारी हो जिसके पास निधि प्रबंधन (फंड मैनेजमेंट) से जुड़े निर्णय लेने का प्राधिकार हो, वह पोर्टफोलियो प्रबंधक यह सुनिश्चित करेगा कि ऐसा व्यक्ति उसे नियुक्त आदि किए जाने की तारीख से एक वर्ष के भीतर "रा.प्र.वा.सं. - श्रृंखला-XXI-ख: पोर्टफोलियो प्रबंधक प्रमाणीकरण परीक्षा" को उत्तीर्ण किए जाने का प्रमाणीकरण प्राप्त कर ले।
3. यह अधिसूचना राजपत्र में इसके प्रकाशित होने की तारीख को लागू होगी।

अजय त्यागी, अध्यक्ष

[विज्ञापन-III/4/असा./245/2021-22]

SECURITIES AND EXCHANGE BOARD OF INDIA

NOTIFICATION

Mumbai, the 7th September, 2021

Notification under Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) Regulations, 2007.

No. SEBI/LAD-NRO/GN/2021/49.—In terms of Regulation 3 of the Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) Regulations, 2007 read with sub-regulation (2) of regulation 7 of the Securities and Exchange Board of India (Portfolio Managers) Regulations, 2020, the Board hereby issues the following notification:

1. The associated persons functioning as principal officer of a Portfolio Manager or employee(s) of the Portfolio Manager having decision making authority related to fund management, shall obtain certification from the National Institute of Securities Markets by passing the NISM-Series-XXI-B: Portfolio Managers Certification Examination as mentioned in the communiqué No. NISM/Certification/Series-XXI-B: Portfolio Managers (PM) Certification/2021/01 dated June 15, 2021 issued by the National Institute of Securities Markets.
2. The Portfolio Managers shall ensure that all such associated persons who are principal officers or employees having decision making authority related to fund management as on the date of this notification obtain the certification by passing the NISM-Series-XXI-B: Portfolio Managers Certification Examination within two years from the date of this notification:

Provided that a Portfolio Manager, who engages or employs any such associated person who is a principal officer or an employee having decision making authority related to fund management, after the date of this notification, shall ensure that such person obtains certification by passing the NISM-Series-XXI-B: Portfolio Managers Certification Examination within one year from the date of their employment.

3. This notification shall come into force on the date of its publication in the Official Gazette.

AJAY TYAGI, Chairman

[ADVT.-III/4/Exty./245/2021-22]