

Instructions

This page (first page only) is NOT a part of the 'Proof of Designation' and shall not be included in the same. This is only for clarification purpose.

In case of Intermediaries WITH A COMPLIANCE OFFICER:

If the Candidate (*Associated Person*) is from an Intermediary having a Compliance Officer, this Certificate **SHOULD BE ON THE LETTER HEAD OF THE INTERMEDIARY** and **SHOULD BE SIGNED AND STAMPED BY THE COMPLIANCE OFFICER ONLY**. Further, the Registration Certificate of the Intermediary should be enclosed.

Certificate of Registration from SEBI shall be in all segments, merely registered as broker/sub-broker is not eligible for attending CPE program. Also Authorized Persons need to be active in FO and CF (Both) segments are eligible to attend CPE program.

Proof of Designation

"This is to certify that _____
(Name of the Candidate), 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** 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: