

## Instructions

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

1. The 'Proof of Experience' has to be on the **LETTER HEAD OF THE INTERMEDIARY** (*in which the Candidate is currently employed*) and has to be signed by the **COMPLIANCE OFFICER** or the Director / Proprietor / Partner / HR Manager of the Intermediary (*only in the absence of the Compliance Officer*)
2. If the Candidate is currently working in an Organization with an in-house Share Transfer Department, the 'Proof of Experience' has to be on the **LETTER HEAD OF THE ORGANIZATION** and has to be signed by the **COMPLIANCE OFFICER** or the Director / Proprietor / Partner / HR Manager of the Intermediary (*only in the absence of the Compliance Officer*)
3. The **REGISTRATION CERTIFICATE OF THE INTERMEDIARY** (*in which the Candidate is currently employed*) has to be enclosed along with this 'Proof of Experience'
4. If the Candidate is currently working in an Organization with an in-house Share Transfer Department, the **REGISTRATION CERTIFICATE OF THE ORGANIZATION** has to be enclosed along with this 'Proof of Experience'

## Proof of Experience

“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 **4<sup>th</sup> September 2009**, in **SEBI registered RTA(s) / Organization(s) having in-house Share Transfer Department** in the following activities: (tick whichever is applicable)

- (a) Dealing or interacting with the investors or issuers
- (b) Dealing, collecting or processing applications from the applicants
- (c) Dealing with matters relating to corporate actions, refunds or redemptions and repurchase of securities
- (d) Handling redressal of investors’ grievances
- (e) Internal control and Risk Management
- (f) Compliance of Securities Laws
- (g) Maintenance of books and records pertaining to the above activities

and is eligible to obtain the CPE Certificate by attending the **NISM-Series-II (a): RTA-Corporate CPE Program** as per **sub-regulation (4) of regulation 3 of SEBI (CAPSM) Regulations, 2007**.

The details of his / her experience are as follows: (use additional sheet if required)

S.No	Name of the Intermediary / Organization	SEBI Registration Number of the Intermediary / Organization	Date of Joining	Date 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 RTA / the Organization**

**Name of the Issuing Authority:**

**Designation of the Issuing Authority:**

(Compliance Officer / Director / Proprietor / Partner / HR Manager)

**Signature of the Issuing Authority:**