

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 REGISTERED DEPOSITORY PARTICIPANT** (*in which the Candidate is currently employed*) and has to be signed by the **COMPLIANCE OFFICER ONLY**
2. The **REGISTRATION CERTIFICATE OF THE DEPOSITORY PARTICIPANT** (*in which the Candidate is currently employed*) **WITH DEPOSITORY** 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 **29th March 2011**, in **registered Depository Participant(s)** in the below mentioned activities: (tick whichever is applicable)

- (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: (use additional sheet if required)

S.No	Name of the Depository Participant	Registration Number of the Depository Participant	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 Depository Participant (where the Candidate is currently employed) **with Depository**

Name of the Compliance Officer:

Signature of the Compliance Officer: