

## 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 SEBI / EXCHANGE REGISTERED 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 (*in the absence of the Compliance Officer*)
2. The **REGISTRATION CERTIFICATE OF THE INTERMEDIARY** (*in which the Candidate is currently employed*) **WITH SEBI / EXCHANGE** 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 **10<sup>th</sup> December 2010**, in SEBI / Exchange Registered Intermediary/Intermediaries in the following activities: (tick whichever is applicable)

- (a) Dealing with assets or funds of investors or clients
- (b) Redressal of investor grievances
- (c) Internal control or Risk Management
- (d) Activities having a bearing on operational risk

and is eligible to obtain the CPE Certificate by attending the **NISM-Series-VII: Securities Operations and Risk Management 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	SEBI/Exchange Registration Number of the Intermediary	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 Intermediary** (where the Candidate is currently employed) **with SEBI**

**Name of the Issuing Authority:**

**Designation of the Issuing Authority:**

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

**Signature of the Issuing Authority:**