

## 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.

**1) 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 BY THE COMPLIANCE OFFICER ONLY**. Further, the Registration Certificate of the Intermediary should be enclosed.

**2) In case of Intermediaries WITHOUT A COMPLIANCE OFFICER:**

If the Candidate (Associated Person) is an Authorized Person or from a Sub-broker or any other Intermediary not having a Compliance Officer, this Certificate **SHOULD BE ON THE LETTER HEAD OF THE TRADING MEMBER WITH WHOM THE AUTHORIZED Person OR SUB-BROKER OR THE INTERMEDIARY IS ASSOCIATED WITH** and **SHOULD BE SIGNED BY THE COMPLIANCE OFFICER OF SUCH TRADING MEMBER ONLY**. Further, the Registration Certificate of the Candidate's Intermediary should be enclosed.

## 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 / Exchange** 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 with Company SEAL:**