

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.

This Certificate **SHOULD BE ON THE LETTER HEAD OF THE INTERMEDIARY (registered with SEBI as "Portfolio Manager") and SHOULD BE SIGNED BY THE COMPLIANCE OFFICER ONLY.** Further, the Registration Certificate of the Portfolio Managers should be enclosed.

Date of issue: _____

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 Portfolio Manager),
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 of NISM-Series-XXI-A: Portfolio
Management Services (PMS) Distributors Certification, 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

SEBI Registration Number of the Portfolio Manager: _____

Enclosure: Registration Certificate of the PMS registered with SEBI (where the Candidate is
currently employed).