

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.

The 'Proof of Experience' has to be on the **LETTER HEAD OF THE INTERMEDIARY (registered with SEBI as Portfolio Manager)** (*in which the Candidate is currently employed or engaged with*) and should be signed by the **COMPLIANCE OFFICER ONLY**. Further, the Registration Certificate of the Portfolio Manager should be enclosed.

Date of issue: _____

Proof of Experience

"This is to certify that _____ (Name of the Candidate), who is currently employed with us / engaged by us as distributor/ employee of the distributor engaged by us, has a total experience of _____ (number of years) years and _____ (number of months) months, as on **September 07, 2021**, as distributor of Portfolio Management Services 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 (3) of regulation 4 of SEBI (CAPSM) Regulations, 2007**.

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

S.No	Name of the Intermediary (where the candidate has performed the PMS distribution function)	SEBI Registration Number of the Intermediary (where applicable)	Date of Joining	Date of Leaving	Total years and months of Experience
1					
2					
3					
4					
5					
6					
7					
8					

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 / engaged with).