

## **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 "Research Analyst"/ "Research Entity") and SHOULD BE SIGNED BY THE COMPLIANCE OFFICER ONLY.** Further, the Registration Certificate of the Research Analyst 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 Research Analyst/  
Research entity registered with SEBI), 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-XV: Research Analyst 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 Research Analyst/Research entity:**

\_\_\_\_\_

**Enclosure: Registration Certificate of the Research Analyst/Research Entity registered with SEBI** (where the Candidate is currently employed).