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 REGISTERED DEPOSITORY PARTICIPANT** *(in which the Candidate is currently employed)* and has to be signed by the **COMPLIANCE OFFICER ONLY**
2. The **REGISTRATION CERTIFICATE OF THE DEPOSITORY PARTICIPANT** *(in which the Candidate is currently employed)* **WITH DEPOSITORY** has to be enclosed along with this 'Proof of Experience'

Date of issue:
Letter No.:

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 issuance date of this letter**, in **registered Depository Participant(s)** in the below mentioned activities: *(tick whichever is applicable)*

(a) Dealing or interacting with clients

(b) Dealing with securities of clients

(c) Handling redressal of investor grievances

(d) Internal control or risk management

(e) Activities having a bearing on operational risk

(f) Maintenance of books and records pertaining to the above activities

and is eligible to obtain the CPE Certificate by attending the **NISM-Series-VI: Depository Operations CPE Program** as per **sub-regulation (4) of regulation 3 of SEBI (CSPSM) Regulations, 2007.**

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

S.No	Name of the Depository Participant	Registration Number of the Depository Participant	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 Depository Participant *(where the Candidate is currently employed)* **with Depository**

Name of the Compliance Officer:

Signature of Compliance Officer with Company SEAL: