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 INTERMEDIARY** *(in which the Candidate is currently employed)* and has to be signed by the **COMPLIANCE OFFICER** *(in this case self attested)/* **ISSUING AUTHORITY**
2. The **REGISTRATION CERTIFICATE OF THE INTERMEDIARY** *(in which the Candidate is currently employed)*

   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 SEBI registered Broker / Depository Participant / Merchant Banker / Underwriter / Banker to the Issue / Debenture Trustee / Credit Rating Agency as a Compliance Officer and is eligible to obtain the CPE Certificate by attending the **NISM-Series-III-A: Securities Intermediaries Compliance (Non-Fund) 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 Intermediary / Organization	SEBI Registration Number of the Intermediary / Organization	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 Intermediary

Name of the Compliance Officer/ Issuing Authority:

Signature of the Compliance Officer/ Issuing Authority with Company SEAL: