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** or the Director / Proprietor / Partner / HR Manager of the Intermediary *(only in the absence of the Compliance Officer)*
2. If the Candidate is currently working in an Organization with an in-house Share Transfer Department, the 'Proof of Experience' has to be on the **LETTER HEAD OF THE ORGANIZATION** and has to be signed by the **COMPLIANCE OFFICER** or the Director / Proprietor / Partner / HR Manager of the Intermediary *(only in the absence of the Compliance Officer)*
3. The **REGISTRATION CERTIFICATE OF THE INTERMEDIARY** *(in which the Candidate is currently employed)* has to be enclosed along with this 'Proof of Experience'
4. If the Candidate is currently working in an Organization with an in-house Share Transfer Department, the **REGISTRATION CERTIFICATE OF THE ORGANIZATION** 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 RTA(s) / Organization(s) having in-house Share Transfer Department** in the following activities: *(tick whichever is applicable)*

(a) Dealing or interacting with the investors or issuers

(b) Dealing, collecting or processing applications from the applicants

(c) Dealing with matters relating to corporate actions, refunds or redemptions and repurchase of securities

(d) Handling redressal of investors' grievances

(e) Internal control and Risk Management

(f) Compliance of Securities Laws

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

and is eligible to obtain the CPE Certificate by attending the **NISM-Series-II (a): RTA-Corporate 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 RTA / the Organization

Name of the Issuing Authority:

Designation of the Issuing Authority:
(Compliance Officer / Director / Proprietor / Partner / HR Manager)

Signature of the Issuing Authority with Company SEAL: