

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 ONLY** (*in this case self attested*)
2. The **REGISTRATION CERTIFICATE OF THE INTERMEDIARY** (*in which the Candidate is currently employed*) has to be enclosed along with this 'Proof of Experience'

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 **11th March 2013**, 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 (CAPSM) 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 (self):

Signature of the Compliance Officer (self):