

Proof of Designation
On letterhead of Broker / Trading Member / Depository Participant

“This is to certify that (Name of person), 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 Intermediary), whose copy of Registration with SEBI / Exchange is enclosed herewith, and 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, 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:

Note: The following is NOT a part of the Certificate and shall not be included in the same. This is only for clarification purpose.

1) In case of Intermediaries WITH A COMPLIANCE OFFICER:

If the Candidate (Associated Person) is from an Organization (Trading Member / Depository Participant) having a Compliance Officer, this Certificate SHOULD BE SIGNED BY THE COMPLIANCE OFFICER ONLY. Further, the Registration Certificate of the Intermediary (Trading member/DP) should be enclosed.

2) In case of Intermediaries WITHOUT A COMPLIANCE OFFICER:

If the Candidate (Associated Person) is an Authorized Person or from a Sub-broker or any other Intermediary not having a Compliance Officer, this Certificate SHOULD BE SIGNED BY THE COMPLIANCE OFFICER OF THE TRADING MEMBER with whom the Authorized Person or Sub-broker or the Intermediary is associated with. Further, the Registration Certificate of the Candidate's Intermediary (Authorized Person/Sub-broker/any other Intermediary) should be enclosed.

(On the letterhead of a registered Depository Participant)

“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 29th March 2011, in registered Depository Participant(s) in the below mentioned activities

- (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 (CAPSM) Regulations, 2007.

The details of his/her experience are as follows: *(include rows if required)*

S.No	Name of the Intermediary / Depository Participant	SEBI/Exchange Registration Number of the Intermediary	Date/Month and Year of Joining	Date/Month and Year 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 the Compliance Officer: