

**BSE DOCUMENTS CHECKLIST FOR AUTHORISED PERSONS REGISTRATION BY  
INDIVIDUAL/PARTNERSHIP FIRM/CORPORATE**

Sr.No	Check list	Received Partially	Required	Final Receipt of Docs
1	Application Letter : By the Trading Member of the Exchange(On the Letter Head duly signed/stamped by the Director/Authorised Signatories)	ISS to Provide	ISS to Provide	
2	Application Form: By Applicant (duly signed/stamped by the applicant.) <b>Annexure 2 (a)</b>			
3	Confirmation/Declaration/undertaking to be signed by the Trading Member on their letterhead as per the prescribed format (available on website bseindia.com). <b>Annexure 2 (b) (i) &amp; Annexure 2 (b)(iii)</b>	ISS to Provide	ISS to Provide	
4	Certified true copy of proofs for age, education, office address, residence address and PAN card of: i. Individual applicant(s) ii. Partnership Firm : all partner(s) (PAN of both i.e firm & partners) iii. Corporate Bodies : all director(s) (PAN of both i.e firm & directors) (Minimum age & education qualification are 18 years and SSC or equivalent to SSC respectively)			
5	Certified true copy of agreement between the Member and the Authorised Person. (On Rs.100/- Stamp paper / Franked paper along with signatures of witnesses in the prescribed format.) <b>Annexure 2 (c)</b>			
6	Certified true copy of the Partnership Deed / Memorandum & Articles of Association as applicable.(The Object Clause should contain a clause permitting the person/company to deal in securities business)	Not applicable for proprietor / Individual	Not applicable for proprietor / Individual	
7	Shareholding pattern (Duly certified by CA/CS/TM not older than 6 months) <b>Annexure 2 (b) (iv)</b> & Board Resolution in case the applicant is a Corporate body. / Sharing Pattern of Profit/loss (Duly certified by CA/CS/TM not older than 6 months) In case the applicant is Partnership Firm / LLP <b>Annexure 2 (b) (v)</b> (Members have to upload scanned copies of shareholding pattern in AP application and submit the physical certified copy with the documents submitted to the Exchange. Board Resolution authorizing director/s /authorised signatories of the applicant to sign documents for registration of Authorised Person duly signed by two directors of the applicant company.)	Not applicable for proprietor / Individual	Not applicable for proprietor / Individual	

8	<p><b>Note:</b>  <b>For Address proof:</b>  Member may submit following address proofs (duly certified by trading/Notary/C.A.)</p> <ol style="list-style-type: none"> <li>1) Passport,</li> <li>2) Driving license,</li> <li>3) Voter ID</li> <li>4) Bank passbook/statement with latest statement of transaction (not older than 6 months),</li> <li>5) Electric Bill in the name of applicant,</li> <li>6) Telephone Bill (only landline),</li> <li>7) Ration card,</li> <li>8) Shop &amp; establishment certificate,</li> <li>9) Copy of ownership agreement</li> </ol> <p>10) Leave &amp; license agreement (One permanent residence proof required in case of leave &amp; license agreement is given)</p> <ol style="list-style-type: none"> <li>11) Copy of Aadhar Card</li> </ol> <p><b>For qualification proof:</b>  Copy of education certificate, education mark sheet duly certified by trading member/Notary/C.A.</p> <p><b>For age &amp; pan card proof:</b>  Copy of pan card duly certified by trading member/Notary/C.A  (The Member should ensure that the approved users and/or sales personnel of Authorised Person/s shall continue to have valid certification of respective segment at all point of time.)</p>			
9	<p><b>A-Processing Fees:</b></p> <ol style="list-style-type: none"> <li>1.Charged by BSE Rs. 2,000/- (Plus Service Tax)</li> <li>2.Processing fees of ISS-Rs. 5,000/- ( Plus Service Tax)</li> <li>3. ISS Annual Fees (AMC) Rs.5,000/- ( Plus Service Tax) only in case of new AP. <b>(Annual fees is for all the segments.)</b>All Payments should be made in favour of ISE Securities &amp; Services Ltd. by DD/ Cheque payable at Mumbai.</li> <li>4. One time backoffice charges Rs.6000/- (Plus services tax for all segments)</li> </ol>			
10	<p><b>Two references:</b> 1. Letters from applicant's Banker duly signed by the Bank manager with reference number. (On the letterhead of the Bank.)</p> <p>2. Another from any third party such as C.A/ Lawyer/ Notary/ other 'SEBI' registered stock broker (In case of partnership firm/corporate entity all Partners/directors names should be included in reference. <b>Annexure:3 &amp; Annexure3.1</b></p>			
11	<p>Undertaking (on the letterhead of the applicant) from the applicant that he/she/they will deal directly with investors and not through any other Authorised person. (In case of partnership firm / corporate entity all partner/ directors should sign) <b>Annexure-4</b></p>			

12	An undertaking that the applicant has not introduced any fake/ forge/stolen shares in the market. (In case of partnership firm / corporate entity all partner/ directors should sign) <b>Annexure-5</b>			
13	Undertaking from the applicant that the SEBI has not taken any action like cancellation of registration /debarred or prohibited from dealing in securities market. (In case of partnership firm / corporate entity all partner/ directors should sign) <b>Annexure-6</b>			
14	Certified true copy of <b>age &amp; education proof</b> of individual/ all partners/ all Directors (minimum education qualification is HSC). (to be certified by C.A. or Notary)			
15	At least 2 years Capital Market experience letter in case the Education Qualification of any Individual/Partner/Director of the applicant is less than HSC. <b>Annexure-7</b>			
16	Details relating to sharing of profit ratio and no. of partners in case applicant partnership and shareholding pattern and no. of directors in case applicant is corporate. <b>Annexure 2 (b) (iv)</b>	Not applicable for proprietor / Individual	Not applicable for proprietor / Individual	
17	Details of office infrastructure details such as space, no. of computers with configuration , Internet vendor details ,Telephone lines, Fax, scanning machine, printers, number of NISM qualified employees etc. should be submitted <b>Annexure-8</b>			
18	In case applicant is a partnership firm / corporate entity, Certified true copy of Partnership Deed in case of Partnership firm and Memorandum & Articles of Association in case of corporate entity to be submitted. (to be certified by C.A. or Notary)	Not applicable for proprietor / Individual	Not applicable for proprietor / Individual	
19	In case applicant is corporate, resolution authorising director/s of the applicant to sign document for registration of AP should be signed by all directors and certified as true copy by a Chartered Accountant or Company Secretary with Registration number and date to be submitted. (to be certified by C.A. or Notary) <b>Annexure-9</b>	Not applicable for proprietor / Individual	Not applicable for proprietor / Individual	
20	In case of Corporate entity application, If there is any changes in director as mentioned in Articles of Association of the company, Please submit certified copy of Form- 32 filed with R.O.C. (to be certified by C.A. or Notary)	Not applicable for proprietor / Individual	Not applicable for proprietor / Individual	
21	In case individual / partner / director is a married female, proof of name change If any. Certified true copy of Marriage certificate or original affidavit duly attested by Notary public. (to be certified by C.A. or Notary)			

22	If the applicant is already registered with SEBI as Authorized Person affiliated to any other Trading Member of BSE you need to apply for surrender of that Authorized Person & submit to us. NOC from that Trading Member along with proof of forwarding surrenders application to BSE.			
23	Residential Address proof of all Proprietor / Partner / Director/ duly attested by. C.A. or Notary.) If Bank statement submitted as address proof, original bank stamp required.			
24	Office Address proof should be certified by C. A. / Notary. If Bank statement submitted as address proof, original bank stamp required.			
25	Copy of PAN card of Firm and Proprietor/ Partner / Director duly attested by C. A. or Notary.			

**Annexure 2 (a)**

**APPLICATION FORM BY THE APPLICANT FOR REGISTRATION AS AUTHORISED PERSON  
WITH TRADING MEMBER OF BSE LTD. (As per Rules, Bye Laws & Regulation of the Exchange)**

1	Name of applicant (applying for registration of Authorised Person.)	
2	Trade name : (of Authorised Person/ Partnership firm/ Corporate body)	
3	Segment 1. Cash Segment 2. Derivatives Segment 3. Currency Derivative Segment	
3	Type of organization (sole proprietor/partnership/LLP/corporate body) [Kindly provide name/s of proprietor /partners/directors]	Type of organization:  Names of Partners/Directors: 1 _____ 2 _____
4	Office address (with proof) (place from where authorised person will be operating - covering area, street/road, city/dist., state & PIN etc., all fields are compulsory).	
5	Contact Person Name, Office Telephone, Mobile Numbers, Fax Numbers , Email ID	
6	Residence address (with proof) with telephone number (i.e. of proprietor/all partners/all directors - covering area, street/road, city/dist., state & PIN etc., all fields are compulsory).	
7	Education qualification & Date of Birth (with proof) (of proprietor / all partners / all directors with proof are compulsory)	
8	PAN Number of the applicant & applicant firm and of proprietor/all partners/all directors with proof is compulsory.	
9	Name and clearing no. of main Trading Member to whom applicant is affiliated	
10	Date of signing agreement with the Trading Member	
11	Authorised person affiliated to a Trading Member in any other stock exchange - if Yes, Provide details of Registration No. & Date with details of name of member to whom he/she/they is/are affiliated.	
12	Whether any case/claim/arbitration pending against the authorised person in any court/stock exchanges (provide details)	
13	In case applicant is member of a Regional/Multiple Stock Exchange, details of SEBI Registration No. & Date of Registration	

I certify that the information given in this application form is true to the best of my/our knowledge and belief.

Date

Signature of Applicant

**Annexure 2(b)(i)**

**Declaration/Confirmation/Undertaking and recommendation from Trading Member  
BSE Limited  
(Rules, Bye laws & Regulation of the Stock Exchange)**

To,

BSE Limited,

Dear Sirs,

I/We understand that \_\_\_\_\_ son of \_\_\_\_\_ aged \_\_\_\_\_ years, residing at \_\_\_\_\_ is attached to me at \_\_\_\_\_ for carrying on the shares and securities business as an Authorized Person (AP).

- I/We confirm that (name of authorized person) is/will be transacting business through me and funds & securities of the clients shall be settled directly between stock brokers and client and all documents like contract note, statement of funds and securities would be issued to client by us. Authorised person may provide administrative assistance in procurement of documents and settlement, but will not issue any contract notes / statements to client in its own name. No fund/securities of clients will go to account of authorized person. I/We further confirm that, authorised person will not charge any amount as brokerage from the clients.
- I/We confirm that, authorised person i.e. individual/partners/directors is/are a fit and proper person(s) to be registered as an Authorized Person.
- I/We also confirm that he/she/they is/are known to me/us for well over \_\_\_\_\_ years and have good financial background & reputation, moral character and integrity.
- I/We also confirm that Authorized Person firm or applicant i.e. individual/partners/directors is/are not appointed as authorized person under any other trading member/s of the Exchange.
- I/We also undertake that, we shall obtain prior permission of the Exchange for any changes like change in trade name/name, address and status and constitution of authorized person and he/she/they is/are eligible for appointment of authorized person.
- I/We also declare that Authorised Person has/have necessary infrastructure like adequate office space, equipment and manpower to effectively discharge the activities on behalf of us.
- I/We undertake that all acts of omission and commission of the authorized person shall be deemed to be those of the stock brokers. I/We are responsible for all such acts of omission and commission of the authorized person.

I/We hereby recommend his application for granting registration for carrying on shares and securities business as authorized person. I/We also confirm that the information that has been submitted is true to the best of my/our knowledge and if at a later date if any material information comes to my/our knowledge subsequent to the submission of this application, I/We undertake to keep informed to the Exchange about the same.

I/We trading member/s of \_\_\_\_\_ Exchange hereby recommend the above-mentioned applicant.

Yours faithfully,

Individuals/Partner/Director

Signature of Member/s with SEBI Registration Stamp

Date:

**Annexure 2(b)(ii)**

**UNDERTAKING**

(ON LETTERHEAD OF APPLICANT)

**[An applicant should submit this confirmation/declaration/undertaking while submitting an application for Authorized Person registration]**

**Dy. General Manager  
Membership Operations Dept.  
BSE Ltd.  
Mumbai**

I/We hereby confirm/declare/undertake that (Name of proprietor/all partners/all directors as applicable should be mentioned) have not been convicted of any offence involving fraud or dishonesty and no trial is pending against above applicant/s in any court of law.

I/We hereby confirm/declare/undertake that the SEBI has not taken any action like cancellation of registration / or debarred or prohibited any of the applicant /s from dealing in securities market/imposed penalty after adjudication/prosecution etc. against any of the applicant/s (names as applicable)

In case of non-compliance on any of above or in case this confirmation/declaration/undertaking is found to be false, the Exchange may take necessary Disciplinary action as per the Rules, Byelaws and Regulations of BSE Limited

Signature of Applicant

Proprietor / Partner / Director

(with rubber stamp)

Date:

## **Annexure 2 (b)(iii)**

### **UNDERTAKING**

#### **(ON LETTERHEAD OF TRADING MEMBER)**

**[Trading Member should submit and upload this undertaking along with Annexure 2 (b)(i) on BEFS portal only in case the Applicant is already registered as remisier/sub broker with same member and has applied for Authorized Person with the Exchange.]**

I/We hereby certify that the applicant <(Name of authorised person)> is a registered Remisier / sub broker and has applied for Authorized Person through me.

In view of the above I/We hereby undertake that the applicant will cancel the remisiership/sub broker registration if already registered, immediately on receipt of Authorised Person Registration certificate from the Exchange. I/We also undertake that we will not commence the business of applicant as AP unless he is discontinued his business as sub-broker/ Remisier with us.

I/We further undertake/confirm that no action complaints/arbitration/ disciplinary proceedings is pending against the aforesaid applicant as sub-broker, No fees is due to SEBI and we undertake to honor all the liabilities/obligations arising from pending proceedings/ future actions (Including monetary penalties, if any) initiated by SEBI for violations/non-compliance of provisions of the SEBI Act, 1992 and the Regulations framed there under during the period of registration till the date of acceptance of surrender by SEBI of sub broker.

Further we will provide the details like AP Trade Name, AP Registration No. & Date of Registration as Authorised Person of said sub-broker, at the time of submitting application for surrender of sub-broker registration to the Exchange.

In case of Non-Compliance on any of above, the Exchange may take necessary steps to disable the Trading Terminals of Authorized Person as well as revocation of approval granted to such sub-broker as AP with immediate effect and take necessary disciplinary action against me.

Name and Signature of the Trading Member  
Proprietor / Partner / Director  
(with rubber stamp & SEBI Registration No.)

Date:

**Annexure 2 (b) (iv)**

**(For Corporate body)**

Date of Certificate \_\_\_\_\_

Submitted by \_\_\_\_\_ (name of Authorised Person) to BSE LTD

Shareholding Pattern of \_\_\_\_\_ (name of Authorised Person) As on \_\_\_\_\_ (date)

<b>Sr. no.</b>	<b>Name of Shareholders</b>	<b>Number of Shares held</b>	<b>Paid up value per share ₹</b>	<b>Amt Paid-Up ₹</b>	<b>% age of total</b>
1.					
2.					
3.					
4.					
5.					
<b>TOTAL</b>					<b>100%</b>

Date:

Place:

Signature/s of Director/s  
With Stamp of the Authorised Person

CERTIFICATE

This is to certify that the Capital and Shareholding of \_\_\_\_\_ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Date:

Place:

For

(Signature of Partner/Proprietor of

Certifying Firm)

Stamp of Certifying Firm with Membership

Number

(Chartered Accountant/Company

Secretary Firm)

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**Annexure 2 (b) (v)**  
**(For Partnership Firms/LLP)**

Date of Certificate \_\_\_\_\_

Submitted by \_\_\_\_\_ (name of Authorised Person) to BSE  
LTD

Sharing Pattern of \_\_\_\_\_ (name of Authorised  
Person)

As on \_\_\_\_\_ (date)

<b>Sr. no.</b>	<b>Name of the Partner</b>	<b>Capital in the Firm In ₹</b>	<b>% Share in Profits</b>	<b>% Share in Losses</b>
1.				
2.				
3.				
4.				
5.				
TOTAL			100%	100%

Partner: Mr. / Ms. \_\_\_\_\_

Date:

Place:

Signature/s of Partner/s  
With Stamp of the Authorised Person

CERTIFICATE

This is to certify that the Capital and Sharing Pattern of \_\_\_\_\_ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Date:

Place:

For

(Signature of Partner/Proprietor of

Certifying Firm)

Stamp of Certifying Firm With Membership

Number

(Chartered Accountant/Company Secretary Firm)

**(On stamp paper of requisite value as per the Bombay Stamp Act)**

**Agreement between Member and Authorised Person**

**This agreement (“Agreement”) is made and executed at ... .. this ... .. day of ... ..  
... .., 2015**

**Between:**

**\*\*\*\*M/s ISE Securities & Services Ltd.**, an individual/ a proprietary concern/ a partnership firm/ a body corporate, registered/ incorporated under the provisions of Partnership Act, 1932/ Companies Act, 1956, having his/her/its office/registered office at **International Infotech Park, Tower No.7, 5<sup>th</sup> Floor, Sector-30, Vashi, Navi Mumbai- 400703** (hereinafter referred to as “**Member**” which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, legal representatives, the partners for the time being of the said firm, the survivor or survivors of them and the heirs, executors and administrators of such last survivor /its successors and assigns, as the case may be ) of the **One Part**;

**And**

**\*\*\*\*<sup>1</sup> Mrs/Mr/ M/s** ....., an individual/a partnership firm / a limited liability partnership/a body corporate/a company, registered/incorporated under the Partnership Act, 1932/Limited Liability Partnership Act, 2008/ Companies Act, 1956/..... (*\*\*Please specify the legal provisions under which the entity is formed/incorporated \*\**), having its registered office at ... ..  
...(*\*\*Please specify the complete address\*\**), (hereinafter called “**AP**” which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, legal representatives, executors and administrators/ the partners for the time being of the said firm, the survivor or survivors of them and the heirs, executors and administrators of such last survivor /its successors and assigns, as the case may be) of the **Other Part**;

**Member** and **AP** shall hereinafter be also jointly referred to as the “**Parties**” and severally as the “**Party**”.

**WHEREAS**

- i) The Securities and Exchange Board of India (“**SEBI**”) vide its circular No. MRD/DR-1/Cir-16/2009 dated November 06, 2009 (“**said Circular**”) addressed to all the recognised Stock Exchanges has issued the framework governing the market access through authorised persons.

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<sup>1</sup> *\*\*\*\* Please delete, whichever is not required.*

- ii) SEBI vide said circular has *inter alia* directed that the stock broker and authorised person shall enter into a written agreement in the form specified by the stock exchange.
- iii) Member is (a) Trading Member with the cash Segment, (b) Trading cum clearing Member with the Derivatives Segment, (c) Trading cum Clearing Member with the Currency Derivatives Segment of the Bombay Stock Exchange Ltd. (“**BSE**”).  
*(###<sup>2</sup> out of options (a),(b) and (c), please delete whichever is not applicable\*\*\*)*
- iv) AP approached Member and Member has agreed to appoint AP as the authorised person on the terms and conditions specified in this Agreement.

**NOW, THEREFORE, THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS UNDER:**

**1. LEGAL FRAMEWORK**

- 1.1 The provisions of the SEBI circular No. MRD/DR-1/Cir-16/2009 dated November 06, 2009 and other circulars issued by SEBI from time to time, the Rules, Bye-laws and Regulations and/or relevant notices of BSE shall be deemed to be an integral part of this Agreement. In the event of any conflict or contradiction between the provisions of the circulars, notices, directions and orders of SEBI, Rules, Bye-laws and Regulations, notices of the BSE, and this Agreement, the provisions of the statute, rules, bye-laws or regulations occurring sequentially earlier in the above list shall prevail over the one occurring sequentially subsequent thereto over this Agreement. The provisions of this Agreement are in addition thereto and not in derogation thereof.

**2. CONDITIONS OF APPOINTMENT**

- 2.1 AP shall not receive or pay any money or securities in its own name or account. All receipts and payments of securities and funds shall be in the name or account of Member.
- 2.2 AP shall receive his remuneration-fees, charges, commission, salary, etc.- for his services only from Member and he shall not charge any amount to the clients.
- 2.3 AP shall not be appointed as authorized person by more than one stock broker on BSE (including all the segments).

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<sup>2</sup> ###- Please delete whichever is not applicable

### **3. OBLIGATIONS OF MEMBER**

- 3.1 If any trading terminal is provided by Member to AP, the place where such trading terminal is located shall be treated as branch office of Member.
- 3.2 Member shall display at each branch office, additional information such as particulars of authorised person in charge of that branch, time lines for dealing through authorised person, etc., as may be specified by BSE.
- 3.3 Member shall notify changes, if any, in the authorised person to all registered clients of that branch at least thirty days before the change.
- 3.4 Member shall conduct periodic inspection of branches assigned to authorised persons and records of the operations carried out by them. **Further, the Member shall mandatorily examine all demat accounts and bank accounts of AP on such periodical basis as he/it may deem fit.**
- 3.5 The clients introduced by AP shall be registered with Member only. The funds and securities of the clients shall be settled directly between Member and client and all documents like contract note, statement of funds and securities shall be issued to client by Member. AP may provide administrative assistance in procurement of documents and settlement, but shall not issue any document to client in its own name. No fund/securities of clients shall go to account of AP.
- 3.6 On noticing irregularities, if any, in the operations of AP, Member shall seek withdrawal of approval from BSE, withhold all moneys due to AP till resolution of investor problems, alert investors in the location where AP operates, file a complaint with the police, and take all measures required to protect the interest of investors and market.

### **4. OBLIGATIONS OF AP**

#### 4.1 Abide by Law & Acquaintance to Law

AP agrees to abide by and comply with and adhere to the circulars, notices, directions, order etc. that may be promulgated or issued from time to time either by SEBI, BSE, Reserve Bank of India or any other regulatory authority.

#### 4.2 *Insolvency*

AP agrees to immediately furnish information to Member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him/it or if any litigation which may have material adverse bearing on him, has been filed against him.

## **5. CONFIDENTIALITY**

Member and AP shall not disclose the Confidential Information (marked as such at the time of providing the information) of each other to any third party, without the written consent of the other Party.

The provisions of this Clause 5 shall not prohibit disclosure of Confidential Information, if and to the extent:

- a) required by law or for the purpose of any judicial proceedings arising out of this Agreement;
- b) required by the SEBI or any other regulatory authority;
- c) it becomes publicly available (other than as a result of a breach of an obligation of confidentiality);
- d) the information is obtained free of any restrictions on use or obligations of confidentiality from a third party which is itself free of any restrictions on use or obligations of confidentiality with respect to that information;
- e) the information is already in the possession of that Party and is not subject to an obligation of confidentiality or a restriction on use; or
- f) the information is independently developed,

## **6. CONSEQUENCES OF CESSATION OF MEMBERSHIP ON A SEGMENT**

In the event of membership of the Member on any segment of BSE coming to an end for any reason whatsoever, the relevant part of this Agreement pertaining to such segment shall come to an end.

## **7. DISPUTE RESOLUTION AND ARBITRATION:**

The dispute between a client and AP shall be treated as dispute between such client and Member.

All disputes and differences between AP and Member pertaining to subject matter of this Agreement, shall be redressed as per the Rules and Bye-laws of BSE pertaining to Arbitration other than between Members and in the absence of any provision in the Rules, Bye-laws of BSE to this effect, such disputes and differences shall be referred to arbitration as per the provisions of Arbitration & Conciliation Act, 1996.

## **8. GOVERNING LAW AND JURISDICTION**

8.1 This Agreement shall be governed by and construed in all respects in accordance with the laws of India. The Agreement shall be subject to exclusive jurisdiction of Courts of Mumbai.

**9. TERMINATION**

- 9.1 This Agreement shall forthwith terminate if Member ceases to be a trading/clearing member of BSE for any reason (including cessation of membership by reason of the Member's default, death, resignation or expulsion) or if the SEBI Registration of Member is cancelled.
  
- 9.2 Member and AP shall each be entitled to terminate this Agreement without giving any reasons to the other Party, after giving notice in writing of not less than 30 days to the other Party.
  
- 9.3 This Agreement will be terminated forthwith on withdrawal of approval given to AP by BSE and on receipt of request of Member to do so subject to compliance with the requirement prescribed by BSE.

**IN WITNESS WHEREOF** the Parties to this Agreement have caused these presents to be executed as of the day and year first above written.

AP's Signature/

The Member's

Authorised Signatory:

Signature/Authorised Signatory:

Signed by:

Signed by:

Title:

Title:

Witness:

Witness:

**BANK REFERENCE**

SUGGESTED FORMAT OF REFERENCE FOR THE PURPOSE OF REGISTRATION OF SUB-BROKERS FROM BANK

**Ref. No** :

**Date** :

**TO WHOM-SO-EVER IT MAY CONCERN**

This is to certify that, Mr. / Mrs. / Ms. / M/s.....Trade name).....of (address.....has current / saving account No.(S) .....

with us since the last.....years and operations in the account have been found to be satisfactory.

It is clarified that this certificate is issued without any risk and responsibility on the part of the Bank or any of its officers in any respect.

This certificate is issued at the specific request of the customer.

Signature of the customer, Mr. / Mrs.....as per the records of the bank is :

**(Signature of applicant)**

**For and on behalf of (name of the bank)**

**(Signature)**

**(Seal of the bank)**

**(Name & Designation of issuing officer)**

**(Address of the bank)**

**Annexure.3.1**

**Third Party Ref:**

**SUGESTED FORMAT OF REFERENCE FOR THE PURPOSE OF REGISTRATION OF SUB-BROKERS FROM ANY OTHER PARTY**

**Ref. No. :**

**Date :**

**TO WHOM-SO-EVER IT MAY CONCERN**

This is to certify that, We personally know M/s / Mr. / Ms. ....trade name..... since the last.....years. We aware that they / he / she proposes to register himself as a Sub-broker with Securities Exchange Board of India, for operations in the Capital Market.

In our opinion, he / she is a rational, honest, sincere person with sound financial position. We certify that, to the best of our knowledge and belief, he is a person who can be entrusted with the work which requires complete integrity and financial responsibility and has not been connected with any criminal / civil offence and there is no litigation filed pending against him.

He / she is not related to me.

**For (Name of the organization)**

**(Signature)**

**(Seal of the organisation)**

**(Name & Designation of issuing person)  
(Address of the organisation)**

**ON LETTERHEAD OF APPLICANT)**

**Dy. General Manager**

**Member Services & Development Dept.  
Bombay Stock Exchange Ltd.  
Mumbai**

I/We hereby undertakes that <he/she/they -Name of proprietor/all partners/all directors should be mentioned> will directly deal with investor and not through any other sub-broker.

I/We hereby confirm/declare/undertakes that the SEBI has not taken any action like cancellation of registration /debarred or prohibited from dealing in securities market/imposed penalty after adjudication/prosecution etc. against the applicant M/s<Name/Trade name of sub-broker/s> or against its < Name of proprietor/partner/director/s >.

In case of non-compliance on any part or found this confirmation/declaration/undertaking false, BSE/SEBI may take necessary disciplinary action as per the Rules, Byelaws and Regulations of BSE/SEBI.

Signature of Applicant

Proprietor / Partner / Director

(With rubber stamp)

Date:

## Fake /Forge/Stolen shares Undertaking

To,

**ISE Securities & Services Ltd.,**

International Infotech Park

Tower 7, 5<sup>th</sup> Floor, Vashi

Navi Mumbai – 400 703

I/we hereby declare that I/we have read and understood the present Securities and Exchange Board of India Act, 1992; SEBI (Stock Brokers & Sub-brokers) Rules, 1992 and Rules, Bye-laws and Regulations of the BSE pertaining to Sub-brokers and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992 and I/we undertake to abide by them and any modification/amendment thereof.

I/we hereby certify that I/we \_\_\_\_\_ Proprietor of \_\_\_\_\_ (trade name) of which I/we are directors/proprietor, as the case may be, have not introduced any fake/forged/stolen shares in the market.

I/we hereby declare that I/we have not ever been suspended, expelled or declared defaulter by the BSE or by any other Exchange or by SEBI or any other regulatory authority.

I/we further state and confirm that M/s. \_\_\_\_\_ Proprietor of M/s \_\_\_\_\_ (trade name) or any of its directors/proprietor, as the case may be, have/has not been convicted of and is presently not on trial for any offence involving fraud or dishonesty.

I/we hereby confirm that the above statement is true to the best of my/our knowledge.

**(Signature of applicant –Proprietor in the case of proprietorship)**

**Signature**

**Name**

**Date:**

**(ON LETTERHEAD OF APPLICANT)**

**Dy. General Manager**

**Member Services & Development Dept.  
Bombay Stock Exchange Ltd.  
Mumbai**

I/We hereby declare that <he/she/they - \_\_\_\_\_Name of proprietor/all partners/all directors should be mentioned> have not been convicted of any offence involving fraud or dishonesty and no trial is pending against them in the any court of law.

In case of non-compliance on any part or found this confirmation/declaration/undertaking false, BSE/SEBI may take necessary disciplinary action as per the Rules, Byelaws and Regulations of BSE/SEBI.

Signature of Applicant

Proprietor / Partner / Director

(With rubber stamp)

Date:

(TO BE SUBMITTED ON LETTER HEAD)

Ref. No. :

Date :

**To Whomsoever it may concern**

This is to certify that Mrs./Mr./Ms. \_\_\_\_\_ of (Address) \_\_\_\_\_ has worked with us as an employee / apprentice etc from \_\_\_\_\_ to \_\_\_\_\_ and is having good experience and knowledge in Stock Broking activity.

**For (Name of certifying company)**

**(Signature of the Director of the certifying company)**

**(Name of the Director)**

Date: \_\_\_\_\_

**Details of office infrastructure**

**(On the letter head of sub-broker)**

To,

**ISE Securities & Services Ltd.,**

International Infotech Park

Tower 7, 5<sup>th</sup> Floor, Vashi

Navi Mumbai – 400 703

We are hereby mentioning our current details of office infrastructure which is as follows:-

1. Fax Machine:-
2. Computers:-
3. Telex:-
4. Number of Offices:-
5. Computers:-
6. Office Tel. No:-
7. Residential Tel.No:-
8. Number of Employees:-
9. Office Address:-

We hereby confirm that above statement is true.

Yours Faithfully,

Name of Proprietor

Signature

Date:-

Place:-

Annexure-9

***For Corporate***

(On the Letter head of the Corporate Applicant for registration as a Authorised person)

**CERTIFIED TRUE COPY OF BOARD RESOLUTION PASSED IN THE BOARD MEETING HELD ON \_\_\_\_\_ AUTHORISING DESIGNATED DIRECTOR(S) TO EXECUTE AND SUBMIT APPLICATION AND OTHER DOCUMENTS FOR REGISTRATION AS A AUTHORISED PERSON OF ISS IN ITS CAPITAL MARKET SEGMENT**

**“RESOLVED THAT** Shri/Mrs./Ms. \_\_\_\_\_ and/or Shri/Mrs./Ms. \_\_\_\_\_, Designated Director(s) of the Company be and hereby authorised to execute and submit Application and other documents and to affix common seal of the Company, if required, for Registration of the Company as a Authorised person in the capital Market Segment of ISE Securities & Services Ltd. (ISS), the wholly-owned subsidiary of Inter-connected Stock Exchange of India Ltd. (ISE).

For and on behalf of the Board

Date :  
Place :

Chairman/Managing director/  
Director/Company Secretary

**ADDITIONAL FORM FOR OBTAINING RECOGNITION AS AUTHORISED PERSONS WITH MEMBER OF ISS.**

Name of the Applicant: \_\_\_\_\_

Trade Name of the Applicant: \_\_\_\_\_

Type of Organization: \_\_\_\_\_

**IN CASE OF PROPRIETOR (INDIVIDUAL) THE FOLLOWING DETAILS TO BE FILLED:**

Residential Address: \_\_\_\_\_

\_\_\_\_\_

Qualification: \_\_\_\_\_ Experience: \_\_\_\_\_

Date Of Birth: \_\_\_\_\_ Age: \_\_\_\_\_

Fathers / Husband's Name: \_\_\_\_\_

**IN CASE OF CORPORATES THE FOLLOWING DETAILS TO BE FILLED :**

**Designated Director 1 (Name)**

Qualification: \_\_\_\_\_ Experience: \_\_\_\_\_

Date Of Birth: \_\_\_\_\_ Age: \_\_\_\_\_

**Designated Director 2 (Name)**

Qualification: \_\_\_\_\_ Experience: \_\_\_\_\_

Date Of Birth: \_\_\_\_\_ Age: \_\_\_\_\_

Office Address: \_\_\_\_\_

\_\_\_\_\_

Tel Nos: \_\_\_\_\_

Fax No: \_\_\_\_\_

Email IDS: \_\_\_\_\_

Net worth Of The Applicant: \_\_\_\_\_

Mapin No: \_\_\_\_\_

**CHECKLIST FOR SUBMITTING AGREEMENT FOR AUTHORISED PERSONS  
REGISTRATION BY AN INDIVIDUAL - TRADER/DEALER OR A COMPANY  
(APPLICANT)**

1. Agreement should be executed within 6 months from the purchase of stamp paper.
2. Each page of the agreement should have your stamp & full signature (initials are not allowed)
3. Columns to be filled properly & sign in the left side of the columns.
  - i). In point no. (a), on page No: 2 please mention details if you are presently SEBI registered sub-broker with any stock broker(s) of any stock exchange.
  - ii) In point no. (c), on page 2, Please mention details of ISE Trader ship/ Dealership and if you have any direct/indirect interest in the stock brokers/ sub-brokers of any stock exchange.
4. Witness name, signature & address should be filled in properly