

Checklist for Sub-Broker Permanent Withdrawal from ISS:

Sub-Broker Name: -

Sub-broker Code: -

Documents required by ISS to be provided by the Dealer/Trader to process the file for withdrawal in the BSE segment:-

Checklist for Cancellation/Surrender of SEBI Registration of Sub-Broker		
Sr. No	Documents Required	Submitted
1.	Processing fees for cancellation of sub broker application Rs. 1123.60/- in favour of ISE SECURITIES & SERVICES LTD (Charged by BSE)	
2.	Processing fees for cancellation of sub broker application Rs.2,247.20/- (Including applicable service tax.) in favour of ISE SECURITIES & SERVICES LTD (Charged by ISS)	
3.	Application for Voluntary Surrender of sub-brokers registration in the prescribed format.	
4.	Original letter of the sub-broker addressed to the main Member requesting for cancellation of registration.	
5.	Termination of Agreement and cancellation of SEBI registration	
6.	Original SEBI Registration Certificate of the sub-broker. If the same is not available, the main Member and sub-broker both have to give an affidavit on a stamp paper of Rs.100 each stating that original SEBI registration certificate has been misplaced/lost and if found it will be surrender back to the Exchange/SEBI and in addition to this main broker/sub-broker is also required to lodged FIR with concerned police authority (in the vicinity where the main broker/sub-broker is located) for misplace/loss of SEBI registration certificate and certified copy of the same is also required to attached with the application (FIR should include main broker name, sub-broker name, trade name of sub-broker and SEBI registration no. of the sub-broker)	
7.	The details of the payment of the SEBI registration fees paid by the sub-broker till date in excel format (as per format enclosed) duly certified as true copy by the member.	
8.	One advertisements in newspapers (in the prescribed format), in regional newspaper. If photocopy of advertisement is attached, the Designated Director of BSE Trading Member /Chartered Accountant should certify it as true copy.	
9.	Notarized Undertaking on NJSP of Rs 100/-	
10.	Details of Directors/ Partners/ Proprietor for Sub-broker	
11.	Letter from sub-broker on Letter head for Balance of Unused stationary of contract notes & KYC	
12.	Letter stating the reason for BSE Sub-broker Cancellation	
13.	Undertaking required by SEBI	

***Note: Advertisement should project the same Name & address as well as SEBI registration number which is given in SEBI registration certificate.**

Letter from sub-broker on Letter head requesting permanent withdrawal.

The Chief Executive Officer (CEO)

ISE Securities & Services Ltd.
International Infotech Park
Tower No.7, Fifth Floor, Vashi
Navi Mumbai - 400 703

Dear Sir,

**Sub: Surrender of Certificate of Registration of M/s. _____ (sub-broker)
Registration No. INS _____ affiliated to ISE Securities & Services Ltd.**

We hereby surrender our certificate of registration bearing number INS _____
affiliated to M/s **ISE Securities & Services Ltd.**

Please Find enclosed the relevant documents for BSE subbroker cancellation

1.	Processing fees for cancellation of sub broker application Rs. 1124/- in favour of ISE SECURITIES & SERVICES LTD (Charged by BSE)
2.	Application for Voluntary Surrender of sub-brokers registration in the prescribed format.
3.	Original letter of the sub-broker addressed to the main Member requesting for cancellation of registration.
4.	Termination of Agreement and cancellation of SEBI registration
5.	Original SEBI Registration Certificate of the sub-broker.
6.	The details of the payment of the SEBI registration fees paid by the sub-broker till date in excel format (as per format enclosed) duly certified as true copy by the member.
7.	One advertisements in regional newspaper .
8.	Notarized Undertaking on NJSP of Rs 100/-

Kindly process the application at the earliest

Thanking you,
Yours faithfully,

For (Name of sub broker)

Proprietor / Partner/ Director
Date

ADVERTISEMENT FOR PUBLISHING IN NEWS PAPER

CANCELLATION OF SUB-BROKERSHIP

Name of Sub-broker

Address

Sub-broker of

ISE Securities & Services Limited

Registration No: INB011077733

Reg.. Off. International Infotech Park, Tower 7, 5th Floor,
Vashi, Navi Mumbai - 400703, Maharashtra
(Corporate Member of the Stock Exchange, Mumbai)

NOTICE is hereby given that Mr./Ms./M/s.
_____, our Sub-broker having his/its Sub-
broker Code No. _____ and SEBI Registration No. _____ have applied to us
for cancellation of his/its Sub-brokership.

Therefore, investors and general public are advised not to deal with the above-referred Sub-broker. Any client/person having any claim against the Sub-broker arising out of their transactions in securities through ISE Securities & Services Ltd. may furnish details of his / their claim in writing to the Director, ISE Securities & Services Ltd. at the Registered Office indicated above, enclosing therewith all supporting documents, within 6 months of the publication of this Notice.

For ISE Securities & Services Ltd.

Place: Navi Mumbai

Date:

Mayank Mehta
Company secretary & Compliance Officer

(To be executed on a Non-judicial Stamp Paper of Rs.100/- and Notarised)

**UNDERTAKING-CUM-DECLARATION
FOR PERMENANT WITHDRAWAL FROM
ISE SECURITIES & SERVICES LTD.**

The Director

ISE Securities & Services Ltd.
International Infotech Park
Tower No.7, Fifth Floor, Vashi
Navi Mumbai - 400 703

1. I/we, Mr./Ms./M/s. _____, an X
individual/ a sole proprietary concern/body corporate, registered/incorporated under the X
provisions of the Companies Act, 1956, having my/our Main/Registered Office at X
_____ declare that I/we am/are registered X
as a Trader or Dealer of Inter-connected Stock Exchange of India Ltd. (hereinafter referred X
to as "ISE"), which is a Stock Exchange recognized u/s 4 of the Securities Contracts X
(Regulation) Act, 1956 by the Securities and Exchange Board of India (hereinafter referred X
to as "SEBI") and which has its Registered Office at International Infotech Park, Tower X
No.7, Fifth Floor, Sector 30, Vashi, Navi Mumbai 400 703 in the State of Maharashtra.
2. I/we declare that my/our Clearing Code No. in ISE is _____ and SEBI X
Registration No. is _____ X
3. I/we, Mr./Ms./M/s. _____, further X
declare that I/we am/are registered as a Sub-broker and/or Authorised Person of ISE X
Securities & Services Limited (hereinafter referred to as "ISS"), the wholly-owned X
subsidiary of ISE, which has its Registered Office at International Infotech Park, Tower X
No.7, Fifth Floor, Sector 30, Vashi, Navi Mumbai 400 703 in the State of Maharashtra and X
which is a Trading Member in the Capital Market segment and Trading-cum-Clearing X
Member in the Futures & Options segment of the Bombay Stock Exchange of India X
Limited (hereinafter referred to as "BSE").
4. I/we declare that my/our Sub-broker Code No. in ISS is _____, SEBI Registration X
No. is INS23_____and/or Authorised Person Code No. in ISS and BSE is X
_____ X
5. I/we declare that there are no disputes, complaints against me/us from any of my clients X
and there are no grievances against me/us from any investor pending with ISS, ISE, BSE, X
SEBI, Department of Company Affairs, Investor Fora and/or in any Court of Law in respect X

of transactions done by me/us for my/our clients or investors through ISS in the Cash segment and Futures & Options segment of BSE

OR

I/we declare that disputes, complaints and grievances from my clients and investors as mentioned in the attached Annexure are pending against me/us with ISS, ISE, BSE, SEBI, Department of Company Affairs, Investor Forum and/or in any Court of Law in respect of transactions done by me/us for my/our clients or investors through ISS in the Cash segment and Futures & Options segment of BSE.

6. I/we further declare that no arbitration reference has been filed against me/us by any of my/our clients and investors in respect of transactions done by me/us for my/our clients or investors through ISS in the Cash segment and Futures & Options segment of BSE

OR

I/we declare that arbitration references as mentioned in the attached Annexure have been filed against me/us with BSE by my clients and investors in respect of transactions done by me/us for my/our clients or investors through ISS in the Cash segment and Futures & Options segment of BSE, which are awaiting issuance of final awards by BSE.

I/we further state that I/we have requested the Director of ISS to refund the Base Capital, Additional Capital, Margin Deposits and/or other security deposits maintained with ISS, after adjusting for my/our settlement and other dues payable to ISS and ISE, for fines, penalties, charges, levies and fees payable to ISS, ISE, BSE, SEBI or any other authority or agency and for claims of my/our clients/investors, whether decided in my/our favour or not as of present, consequent to my/our decision to cancel our registration as a Sub-broker and/or Authorised Person of ISS and BSE.

I/we further state that as prescribed by SEBI, BSE, ISE and ISS, I/we have released the necessary advertisements in an English language newspaper and a Regional language newspaper informing investors and the general public about my/our intention to cancel my/our Sub-broker registration with ISS, BSE and SEBI and further advising the investors and the general public not to deal with me/us.

I/we hereby unconditionally agree that ISS shall have full, absolute and unfettered right and authority to adjust any or all of my/our monies, securities, fixed deposits, bank guarantees and any other deposits or security lying with ISS or ISE towards my/our settlement and other dues payable to ISS and ISE, for fines, penalties, charges, levies and fees payable to ISS, ISE, BSE, SEBI or any other authority or agency and for claims of my/our clients/investors, whether decided in my/our favour or not as of present, without my/our consent or prior notice to me/us, consequent to my/our decision to cancel our registration as a Sub-broker and/or Authorised Person of ISS and BSE.

I/we unconditionally agree that I/we shall settle all disputes, complaints, grievances and claims of my/our clients and investors arising out of their transactions done by me/us through ISS in the Cash segment and Futures & Options segment of BSE immediately and in no event, later than one week from the date of such demand made by ISS on me/us, even when such disputes, complaints, grievances and claims arise subsequent to the cancellation of my/our registration as a Sub-broker and/or Authorised Person of ISS and BSE by SEBI, BSE, ISE and ISS.

I/we unconditionally agree that I/we shall immediately honour and abide by any arbitration award, Court order, ISS instruction, ISE instruction, SEBI order or decision or any order or decision of any authority or agency or any Investor Fora relating to settlement of any disputes, complaints, grievances and claims of my/our clients and investors and any dues, fines, penalties, charges, levies and fees payable to ISS, ISE, BSE, SEBI or any other authority or agency, even when such awards, orders, instructions or decisions are given and dues, fines, penalties, charges, levies and fees are imposed subsequent to the cancellation of my/our registration as a Sub-broker and/or Authorised Person of ISS and BSE by SEBI, BSE, ISE and ISS in respect of transactions done by me/us through ISS in the Cash segment and Futures & Options segment of BSE.

I/we unconditionally agree and give my/our consent that in the event my/our monies, securities, fixed deposits, bank guarantees and any other deposits or security lying with ISS or ISE are not sufficient to meet my/our settlement and other dues payable to ISS and ISE, for fines, penalties, charges, levies and fees payable to ISS, ISE, BSE, SEBI or any other authority or agency and for claims of my/our clients/investors, ISS shall have full, absolute and unfettered right to recover the amount in deficit from out of the movable and immovable assets and properties standing in my name and in the names of my spouse, parents, children, brothers and sisters or in the names of the Directors and Shareholders of our Company and their spouses, parents, children, brothers and sisters.

For **(Name of the Sub-broker/Authorised Person)**

Signature of the Sub-broker/Authorised Person

[Name(s) & Designations of the SIGNATORY (ies)]

Date:

Place:

Witness 1
Signature
Name
Date
Address

Witness 2
Signature
Name
Date
Address

Application for Voluntary Surrender of Sub-broker Registration
(On Sub Broker Letter Head)

Securities and Exchange Board of India
SEBI Bhavan, Plot No.C-4/A, 'G' Block,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051.

Dear Sir,

Sub: Surrender of Certificate of Registration of M/s.....(sub-broker) Registration No. INS..... affiliated to M/s.(broker) Registration number INB.....

We hereby surrender our certificate of registration bearing number INS..... Affiliated to M/s....., Registration Number INB..... Please find enclosed the registration certificate in original issued to us.

We certify the following:

1. There are no investor complaints pending against us.
2. There is no action pending against us by SEBI/ Stock Exchange/ Any other Regulatory Authority.
3. We have paid fees as per SEBI (Stock Brokers & Sub-brokers) Rules and Regulations, 1992.

Further, 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 i.e. up to the date of acceptance of surrender by SEBI.

We hereby request SEBI to dispense with the procedure laid down in regulation 16 of the SEBI (Procedure for Holding Enquiry by Enquiry Officer and Imposing Penalty) Regulations, 2002 while processing our request for surrender of certificate of registration.

Thanking you,

Yours faithfully,

(Signature of Proprietor/Managing Partner/Whole time/Managing Director of the Applicant Sub-broker)

Date

Stamp of the sub-broker indicating registration number

Affidavit in case of lost/misplacement of SEBI Certificate

**DEED OF INDEMNITY cum AFFIDAVIT
(on stamp paper of appropriate value)**

THIS DEED of INDEMNITY cum AFFIDAVIT made on this _____ the day of 200__ by M/s. _____(name of Sub-broker) having registration no._____ affiliated with _____(name of trading member), a Trading Member of the Bombay Stock Exchange Ltd. ("BSE") give this INDEMNITY cum AFFIDAVIT at _____ IN FAVOUR of **Securities and Exchange Board of India.**, (hereinafter called as "SEBI" which expression shall unless repugnant to the context or meaning thereof include its successors, assigns and legal representatives)

WHEREAS

1. I /we have submitted an application for cancellation of sub broker SEBI registration _____(Trade name of existing sub broker) being affiliated to aforesaid trading member of the Stock Exchange.
2. I/we are required to submit the original SEBI Registration Certificate(s) for forwarding application to SEBI through BSE for cancellation of sub broker SEBI registration.
3. I / we have misplaced / lost our SEBI Registration Certificate(s) of aforesaid.
4. As required by SEBI, I/we therefore am/are willing to execute this Indemnity cum Affidavit for the purpose of cancellation of sub broker registration by SEBI without the original certificate of registration.

NOW IN CONSIDERATION OF SEBI permitting us to furnish the application for cancellation of sub broker SEBI registration without the original certificate of registration, I/WE UNCONDITIONALLY AND IRREVOCABLY UNDERTAKE AND AGREE

- a) To deliver the original SEBI Registration Certificate to SEBI as soon as the same is found, recovered or possessed by us.
- b) That I agree to protect, indemnify and keep indemnified SEBI harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, costs, charges, expenses or obligations which may be brought or commenced against them or which they may or may have to bear, pay or suffer directly or indirectly as a result of such loss or

damage arising as a result of any other person claiming to be the holder of the said SEBI Registration Certificate bearing Registration No. _____

- c) That this Undertaking shall be binding upon our successors, legal representatives and assigns.
- d) That we shall execute, sign, and subscribe, to such other documents, papers, agreements, covenants, bonds, and / or undertakings as may be prescribed or required by SEBI from time to time.

IN WITNESS WHEREOF, this Deed of Indemnity cum Affidavit is executed on this the _____ day of _____ 20__.

Signed and delivered

For M/s. (name of sub-broker)

Name and Designation

in the presence of

WITNESSES

Signature

(1) Name :
ADDRESS

Signature

(2) NAME :
ADDRESS

Before me
Notary

Format for submitting letter to affiliated trading member by Sub-Broker
(On Sub Broker Letter Head)

Date : _____

Designated Director,
ISE Securities & Services Limited

Sub : Termination of Agreement and cancellation of SEBI registration

Dear Sir,

With reference to captioned subject I/We hereby request you to terminate the agreement with you and surrender SEBI registration certificate to SEBI for cancellation.

We further confirm that: There are no investor complaints pending against us.

There is no arbitration/disciplinary proceeding is pending against us by SEBI/Stock Exchange/Any other Regulatory Authority or any Court of Law.

I/We have paid fees as per Schedule III (II) of SEBI (Stock Broker and Sub-Broker) Regulation 1992.

Further, 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 i.e. up to the date of acceptance of surrender by SEBI.

We are also enclosing herewith following documents for cancellation of SEBI registration:

- 1.
- 2.

You are requested to kindly do the needful.

Thanking you.

Yours truly,

Name and Signature of the Applicant
(Proprietor/Partner/Director/Authorized Signatory)

(ON THE LETTERHEAD OF REGISTERED INTERMEDIARY)

APPLICATION FOR DEACTIVATION OF USER IN NSE CM/BSE CM/NSE

F& O SEGMENTS (Important: Strike out whichever is not applicable)

Manager – Market Operations
ISE Securities and Services Limited
International Infotech Park, Tower No 7, Floor No 5,
Vashi Railway Station Complex, Sector 30
Vashi , Navi Mumbai - 400 703

Dear Sir,

We _____(Registered Intermediary) do hereby communicate to you that _____(Name of CTCL User) was appointed by us as an Approved Person at our trading office situated at(Address with PINCODE) -----
----- .But since *(reason for deactivation)* -----
-----, we request you to deactivate above user. Other relevant details are as mentioned below:

1. Terminal No. To Be Deactivated: _____
2. Segment in which terminal is to be Deactivated (BSE/NSE/F&O) _____

DETAILS OF THE CTCL USER TO BE DEACTIVATED

3. Name of the person for whom this application for Deactivation of User ID is made *(expand all initials)*: _____

4. NCFM Registration No: _____
(Enclose copy of the NCFM certificate)

5. Validity Date of NCFM certificate :

DD	MM	YYYY

Date:

Place:

Stamp & Signature of the Registered Intermediary

(ON THE LETTERHEAD OF SUBBROKER)

APPLICATION FOR DEACTIVATION OF ODIN ON NET IN NSE CM/ BSE CM/ NSE FO/ NSE CDS
(Important: Strike out whichever is not applicable)

To
Mr. Amit Salian
IT Dept.
ISE Securities and Services Limited
601, 6th Floor, Dakshna Building
Next to Raigad Bhawan, Sec – 11
CBD Belapur, Navi Mumbai - 400614

Dear Sir,
SUB : DEACTIVATION OF ODIN ON NET SERVICE OF TERMINAL NO. _____ AND VPN ID _____

I hereby request you to deactivate ODIN on Net service of terminal no. _____ and also deactivate our
VPN ID No. _____.

Date:

Place:

Stamp & Signature of the Registered Intermediary

Letter Stating the Reason for BSE Sub-broker Cancellation (on sub brokers Letter head)

The Chief Executive Officer (CEO)

ISE Securities & Services Ltd.
International Infotech Park
Tower No.7, Fifth Floor, Vashi
Navi Mumbai - 400 703.

Dear Sir,

**Sub: Surrender of Certificate of Registration of M/s._____ (sub-broker) as
BSE sub brokers affiliated to ISE Securities & Services Ltd.**

We hereby surrender our certificate of registration bearing number INS_____
affiliated to M/s **ISE Securities & Services Ltd.**

The reason for cancellation of BSE sub-broker registration is as follows:

1. _____
2. _____
3. _____

Kindly process the application at the earliest

Thanking you,

Yours faithfully,

For (Name of sub broker)

Proprietor / Partner/ Director

Date

(ON THE SUB BROKERS LETTER HEAD)

Date:
Place:

From,

To,

ISE- Securities & Services Ltd
International InfoTech Park, Tower-7
5th Floor, Sector-30, Vashi ,Navi Mumbai

Sub: Balance of Unused stationary of contract notes & KYC

Dear Sir,

I /We having ISE Member code: hereby declare that I/ We will not use any unused stationery such as contract notes, KYC etc issued by ISE securities and services Ltd.

I further confirm that any left over of the said stationery shall be destroyed immediately. Also state that I/we are responsible for in case of future misuse of such documents.

Thanking You

Yours Truly,

Details of Directors/ Partners/ Proprietor for Sub-broker

Personal Information:

Name of the Applicant:

Spouse/ Father's name:

Constitution:

P.A.N.:

Date of Birth:

Qualification:

Education Qualification:

Additional Qualification:

Qualification details:

Designation:

Experience in Years:

Experience details:

Contact Information:

Resident Address:

City:

Pin Code:

District:

State:

Birth City:

STD Code: Tel. No.:

Mobile No.:

Fax No.:

Email ID:

Nationality:

Relations:

Relative of:

Relation:

Remarks:

Undertaking

(on the letterhead of the sub broker)

I/We Mr./Ms./M/s. _____ (*trade name of the sub broker*) bearing SEBI registration no. _____ hereby undertake to honour all the liabilities/obligations arising from the pending proceedings/future actions (including monetary penalties, if any) initiated by SEBI for violations/non-compliance of the provisions of the SEBI Act, 1992 and the Regulations framed there under during the period of registration ie, up to the date of acceptance of surrender by SEBI.

Date: _____

Place: _____

Name, Signature & Seal