

Checklist for Permanent Withdrawal of NSE F&O Segment

Documents required by ISS to be provided by Authorised person for withdrawal in the NSE F&O segment:-

Sr. No	Documents Required for <b>Cancellation</b> as Authorised person in NSE F&O segment.	Received	Required
1.	With effect from June 01, 2009 Rs. 1,000/- plus applicable services tax of 12.36% is payable towards NSE processing fees for Subbroker cancellation. ie; Rs.1124/-		
2.	With effect from June 23, 2010 Rs. 2,000/- plus applicable services tax of 12.36% is payable towards ISS processing fees for Subbroker cancellation. ie; Rs. 2248/-		
3.	Letter from Sub - Broker on Letter head requesting Cancellation as Authorised person in NSE F&O segment.		
4.	Submit copy of public notification intimating the investors/general public of the cancellation/surrender of authorized person, issued in the local newspaper where the authorised person's registered office, head office/corporate office is situated. <b><u>(Applicable in case of any disciplinary action initiated by the Exchange and pending against the Authorised Person)</u></b>		

**Application for Cancellation of Appointment of Authorised Person(s) in the Capital  
Market / Futures & Options / Currency Derivatives Segment(s)**  
(On the letter head of the Authorised Person)

Date

To  
**The Chief Executive Officer (CEO)**  
**ISE Securities & Services Ltd.**  
International InfoTech Park  
Tower No.7, Fifth Floor, Vashi  
Navi Mumbai - 400 703

Dear Sir/Madam,

I/We hereby request to cancel the appointment as Authorised person(s) with the Exchange.  
Details are as under:

Sr. No.	Applicant Name of the Authorised Person	Trade Name of the Authorised Person	Segment (CM/ F&O/ CD)	Date of Appointment	Authorised Person Code	Reason for cancellation
1						Please mentioned Reason here

We hereby confirm that:

1. Kindly disable my terminal.
2. The agreement(s) between ISS and M/s. \_\_\_\_\_ (Authorised person) is hereby terminated.
3. No complaint/ arbitration/disciplinary proceeding/investigation/inquiry is pending against us in respect of clients dealing through me. There is no financial dispute of any matter between me and clients registered with us.
4. We have enclosed the amount of Rs.1124/- inclusive of service tax @ 12.36% towards processing fees of NSE & Rs 2248/- inclusive of service tax @ 12.36% towards processing fees of ISS.
5. \*Certified true copy of Board Resolution (Letter of Authority in case of Partnership Firm signed by all partners) regarding approval for cancellation of Authorised Person is enclosed.

Place: \_\_\_\_\_

\_\_\_\_\_  
**#Name, Signature & Seal**

\* Applicable in case the Authorised Person is a Partnership Firm/LLP/Corporate.  
# Should be signed by a Proprietor/Partner/Director of trading member.

## **Instructions**

- This application can be submitted by the trading member only in case the member desires to cancel the authorised person appointment after the Exchange has granted approval to the authorised person appointment application.
- Submit copy of public notification intimating the investors/general public of the cancellation/surrender of authorized person, issued in the local newspaper where the authorised person's registered office, head office/corporate office is situated and another in English daily news paper with wide circulation. **(Applicable in case of any disciplinary action initiated by the Exchange and pending against the Authorised Person)**
- In case the Authorised Person wishes to change its affiliation from one member to another member, the existing member has to submit an application for cancellation of appointment of Authorised Person and the new affiliating member has to submit an application for appointment of the Authorised Person.

**ADVERTISEMENT FORAMT**

**CANCELLATION OF AUTHORISED PERSON**

**Name of Authorised Person**

**Address**

Authorised Person of

***ISE Securities & Services Limited***

**Registration No: INB231077737**

Reg. Off. International Infotech Park, Tower 7, 5<sup>th</sup> Floor,  
Vashi, Navi Mumbai - 400703, Maharashtra  
(Corporate Member of National Stock Exchange of India Ltd.)

NOTICE is hereby given that Mr./Ms./M/s.  
\_\_\_\_\_, our Authorised Person having his/its  
Authorised Person Code No. \_\_\_\_\_ and SEBI Registration No. \_\_\_\_\_ have  
applied to us for cancellation of his/its Authorised Personship.

Therefore, investors and general public are advised not to deal with the above-referred Authorised Person. Any client/person having any claim against the Authorised Person 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

**(ON THE LETTERHEAD OF SUBBROKER)**

**APPLICATION FOR DEACTIVATION OF USER IN NSE CM/NSE 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) -----  
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-----, 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 (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, 6<sup>th</sup> 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**

**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:**