## PROCEDURE TO BE FOLLOWED BY SUB BROKER FOR TERMINAL ACTIVATION.

- For Margin, Exposure and limit kindly contact **Surveillance Dept.** (Ext. No. 126 / 148 / 153 / 169 / 170)
- ➤ For operation between Settlement A/c and Branch Bank A/c. PAY –IN and PAY–OUT Contact Mr. Shrikant Ext. No. 130 / 166.
- For connectivity details contact Connectivity Dept. (Ext. No. 104/145/146)
- ➤ For Client registration, Contact CRD Dept. Ext. No. 144 / 162
- For opening of DP A/c Mr. Prashant Ext. No. 135
- Opening of Settlement A/c in HDFC Bank (Capital Market Fort Branch) A/c series should start from 0099067. (If out of Mumbai sub broker is there, he has to contact his nearest HDFC Branch.)
- Sub broker should pass NISM exam for NSE CD segment.

Sub broker can **submit the Activation documents** after getting Settlement A/c no., Branch Bank A/c no., DP A/c no. and Mark sheet / certificate of NCFM / BCSM certificate

### **CHECK LIST FOR TERMINAL ACTIVATION IN NSE F&O SEGMENT**

SR NO	PARTICULAR	STATUS					
1.	NSE CD TERMINAL ACTIVATION FORM (To be submitted on the letterhead of the Registered Intermediary)						
2.	APPLICATION FORM FOR NEW TERMINAL IN CD SEGMENT						
3.	REQUEST FORM (to be given by the Registered Intermediary of ISS on their letterhead prior to start of trading.						
4.	TRADING TERMINALS CERTIFICATE — (To be submitted on Rs 100/- stamp paper duly notarized)						
5.	AFFIDAVIT – CUM – UNDERTAKING (CASH SEGMENT)  (To be executed on a Non Judicial Stamp Paper of Rs. 100/- and to be sworn before a Chief Judicial Magistrate/ Judicial Magistrate First Class or any other Competent Authority by the Proprietor in case of Proprietorship entity and by at least one of the Designated Directors in case of Corporate Entity.						
6.	FORMAT OF BOARD RESOLUTION						
7.	REQUEST / AUTHORITY LETTER (To be submitted on the letterhead of the Registered Intermediary of ISS)						
8.	AUTHORITY LETTER (To be submitted on the letterhead of the Registered Intermediary of ISS)						
9.	CTCL ID - ACTIVATION FORM						
10.	COPY OF NSE SUBBROKER REGISTRATION CERTIFICATE						
11.	COPY OF NISM SERIES-I CERTIFICATE DERIVATIVE MODULE						
12 ACTIVATION FORM OF ISS & CHECKLIST FOR TEMINAL ACTIVATION (OFFICE USE)							
Prepared	<b>В</b> Ву						
Remarks	: :						

(To be submitted on the letterhead of the Registered Intermediary)

### **NSE TERMINAL ACTIVATION FORM**

### **SUB-BROKER CODE:**

												_	
Name of Sub-broker													
Terminal Id													
Trading Terminal Address													
Pin code													
State / Region													
Country													
Tel No. with STD Code													
Fax No. with STD													
Code													
Email Id													
NSESEBI Reg No /													
Date													
PAN No													
MAPIN ID													
Name & Designatio the NSE CTCL USEI													
In case the Register equities segment, t		separate		CL t	erm	ina	I wil						
BANK ACCOUNT / [	DEPO:	SIT DETA	ILS										
Bank Name, Br													
Settlement A/c No.													
You are requested								 		 	]		
above mentioned ac	count	on (date	)										
for			<u> </u>										
Non Cash – FD /BG													
Total Deposit (Cash		Cash)							1				1
Branch Bank Accour	nt												

DEMAT DETAILS													
Client ID													
DP ID													
DP Name													
DETAILS OF ISE TRAD SEBI Registration No SEBI Registration Date Completed 5 y Trader/Dealer of ISE and fees for 5 years and nex years If yes, please submit An duly certified by a Chart Accountant as per the S prescribed format enclo	ears d pa t blo nexi ered EBI	id S ock ure	o SEB of !	f _		'es		<b>P</b>	]		No		
FOR OFFICE USE ONL	Y												
CTCL ID No.											Manager No.		
All the statutory documents of the statutory doc	nents	s fo	r th	e y	ear	' eı	ndi	ng	Ма	rc	h 2004 have alr Sign & Seal o	-	

## Request Form to be given by the Registered Intermediary of ISS on their letterhead prior to start of trading.

DATE:

THE MANAGER (MARKET OPERATIONS)	)
ISE SECURITIES & SERVICES LTD.,	
TOWER NO. 7. 5 <sup>TH</sup> FLOOR	

SECTOR 30, VASHI, NAVI MUMBAI – 400 703.

DEAR SIR,

I/We have been registered with SEBI as a sub broker of ISE Securities and Services Limi	ted
and my/our sub broker SEBI registration number is INS	

[A] Bank account: We have already opened a Bank account for funds settlement bearing the following details

Bank Name : Account No :

[B] Beneficiary account: We have also opened a beneficiary account for securities settlement bearing the following details

Client ID : DP ID : DP Name :

[C] Initial Deposit:

(i) We have given you our Initial Deposit for trading purposes in the following form

Cash Rs. FDR details/BG details

FDR/BG No. : Issuing Bank : Amount : Date of issue:

- (ii) We have not yet given any Initial deposit. Kindly debit the above mentioned bank account for towards initial deposit in order to enable me to start trading.
- [D] PAN No: (Also enclose copy of PAN Card/Icome Tax Returns)
- [E] MAPIN No Inividual/Designated Directors: (Also enclose copy of MAPIN card)
- [F] MAPIN Details Firm/company: (Also enclose copy of MAPIN card)

**Thanking You** 

**Yours Faithfully** 

(Stamp & sign of sub broker)

(Trading Terminals Certificate - To be submitted on Rs 100/- stamp paper duly notarized)

То
ISE Securities & Services Limited International Infotech Park, Tower No 7 5 th Floor, Sector – 30, Vashi Navi Mumbai – 400 703
Dear Sir
I/We ( name of sub-broker ) bearing SEBI Registration no. INS23 do hereby confirm the following:
Terminals have been provided only as per the norms prescribed by the National Stock Exchange of India Limited
Transactions are carried out from such terminals (locations) as have been intimated to you and that trading is not carried out from any terminal which has not been intimated to you.
Trading terminals for executing trades on NSE are operated by us and have not been given to any unauthorized persons.
Place : Date :
To be signed by :  • Proprietor
Managing Director /Whole Time Director

To be executed on a Non Judicial Stamp Paper of Rs. 100/- and to be sworn before a Chief Judicial Magistrate/ Judicial Magistrate First Class or any other Competent Authority by the Proprietor in case of Proprietorship entity and by at least one of the Designated Directors in case of Corporate Entity/ Partnership Entity.

### Affidavit – Cum – Undertaking (Cash Segment)

			•	,		
M/s at_ (he	ector/Director/Proprietor s a SE ereinafter referred to as clare, affirm, state and con	(strike off (name of the co BI registered Si ISS) having SEE	whichever ompany/proprieto ub-broker of IS I Sub-broker R	is not orship), having E Securities	& Services Limite	of e ed
•	That M/sISS to adopt/use the Cof any part of the software be effected	TCL facility using re has been effe	the software proted by us, nor s	ovided by ISS	and no modificatio	'n
•	M/s	ndirectly any view plying with the I vaload reference rence No.NSE/N No. NSE/MEM/3.NSE/MEM/3758 ated December respect of guid details of CTCL	v only terminal o National Stock I No. NSE/MEM MEM/3635) date 740) dated 13 ) dated 26 <sup>th</sup> Nov 18, 2002 and elines for location	r trading term Exchange of M/3574) dated d 25 <sup>th</sup> September 2002 d No 02-03 on of CTCL	inal through CTCL of India Ltd. (NSEIL's d 29 <sup>th</sup> August 2002 ember 2002, No.30 2002 and No.31 and ISS Circular No /ISS/9210/VS date terminals and usag	or s) 2, 99 1 o. ed je
•	None of the persons to aforesaid circulars, has address in violation of th terminals will not be prov	in turn, provided e aforesaid circu	any terminal to lars. I/ We also v	any other pe will ensure tha	erson/office/premises at in future, the CTC	s/
•	All the CTCL terminals operating the respective terminals to ISS in res NSE/MEM/3574) dated dated 25 <sup>th</sup> September 2 November 2002 and ISS No 02-03/ISS/9210/VS Circulars and the Circular regard are not violated in	e CTCL terminal ponse to the NS 29 <sup>th</sup> August 2002 2002, No.309 (do S Circulars No. 0 dated Septembers that they may	as declared in SEIL's Circulars 2, No.292 (dowr ownload referen 2-03-/ISS/10555 er 11, 2002. I/	our submissi No. 282 (do lload reference Ce No. NSE/ I/MR dated D We will also	on of details of CT ownload reference be No.NSE/MEM/36 MEM/3740) dated ecember 18, 2002 a ensure that the s	TCL No. 335) 13 <sup>th</sup> and said
•	M/sensure that the branches terminal users have not line with NSEIL and/ or wireless media /other me to ISS for providing VS Regulation 2.1.2 of Pa undertake and assure the	s of M/s provided extension ISS by means redium other than SAT/ leased line/ out A of the Cap	(name of the control of any termine of any connective at the same add ISDN/ wirelessectal Market Re	e sub-broker al connectivity vity, viz. dial- resses as dec other mediu gulations of	entity) and their CT y through VSAT/leas up/ leased line/ ISI clared in our applicat um in compliance v the NSEIL. I/We a	FCL sed DN/ tion with also

extension of any terminal contrary to the contents of our application to ISS.

M/s(name of sub-broker entity) and its branches does execute all orders received from the constituents and any other persons, in their respective names/ client codes and none of the orders received from constituents is executed as its own under PRO code and / or under other client codes.
M/s(name of sub-broker entity) and its branches and its CTCL terminal users and branches do place all orders received from the constituents as per the quantity and price indicated by the constituents, on the trading system of NSEIL and issue Purchase/Sale Notes for the exact quantities for which and at the same prices at which the trades are executed on the NSEIL, except for contract notes issued with weighted average price in case of multiple trades resulting from single order as provided in the NSEIL's Circular No.NSE/CMO/14/99 (download reference No.NSE/CMT/1025) dated 15 <sup>th</sup> June, 1999 and also settle the transactions only for those quantities and at those prices.
All the constituents to whom trading terminals have been provided by us, either directly or through CTCL, transact only for themselves and not for anybody else and they are not dealing as unregistered intermediaries.
That appropriate penal action, including fine, suspension of trading rights as a Sub-broker, cancellation of Sub-broker and Stock-broker registration granted by SEBI can be taken against me and M/s(name of the Sub-broker entity) by SEBI, NSEIL, ISS and ISE in case I/we violate any of the Rules and Regulations passed by SEBI, NSEIL, ISE and ISS from time to time, including those provisions relating to unauthorized access to persons for illegal/unauthorized trading and/or providing my terminals or terminals of M/s(name of Sub-broker entity) for illegal/ unauthorized trading.
That I am authorised to sign/submit this Affidavit-cum-Undertaking to ISS under due authority of the Board of Directors of M/s(Name of the sub-broker entity). [Required in case of Corporate entity]
RIFICATION
olemnly affirm that all the contents of the aforesaid affidavit are true and correct to the best of knowledge and belief and I have not concealed any material facts.
te: Deponent

### FORMAT OF BOARD RESOLUTION

EXTRACT OF THE MINUTES OF THE BOARD	MEETING HELD ON
"RESOLVED THAT Shri/Ms Desor of Sub-broker entity), be and is hereby authorise to ISS relating to provision of CTCL terminals formed by SEBI, National Stock Exchanges of India Ltd. and ISE Securities & Services Ltd."	d to sign/submit the Affidavit-Cum-Undertaking in compliance of the Rules and Regulations
Place: Date:	Certified to be True * Signature: Name:

<sup>\*</sup> should be certified by the Managing Director or Chairman of the Company, in case the Affidavit-cum-undertaking is signed/submitted by any other Director.

### PLEASE FILL ALL THE FILEDS ELSE THE FORM WILL BE REJECTED.

# Also provide the details of all your existing terminals in the format \text{\text{mentioned in the form and address the form to the Membership Dept.}

APPLICATION FORM FOR NEW / ADDITIONAL TERMINAL IN NSE/BSE CASH AND FNO SEGMENT

nter Vasł	Securities and Services Limited national InfoTech Park, Tower No 7, ni Railway Station Complex, Sector 3 ni , Navi Mumbai - 400 703		
Dea	· Sir,		
We_		(Registered	Intermediary) do hereby
com beer with	municate to you that n appointed by us as an Approve PINCODE)	d Person at our	Intermediary) do hereby (Name of CTCL User) has trading office situated at (Address where we have connectivity. We further desire
he hat	VSAT / Leased Line/ISDN / [	Dial-up / Lan (Name	connectivity. We further desire of CTCL User) be granted
oern n ti segi	nission to act as our Approved Us he  Capital  Market  /  Futures  &	er at the above Options [strike	said office for our trading terminals out whichever is not applicable] is located and other relevant details
1.	Terminal No. To Be Activated:		
2. (Fill	Segment in which terminal is Active different form for different segment)	ated (NSE/BSE/F	
3.	Registered Office address of Regis	tered Intermediar	y:
4.	Status of the office where terminal i	s located (select	one)
			MAIN OFFICE BRANCH OFFICE REGISTER SUB BROKER REGISTER OFFICE
5.	Status and Address of our office wh	nere the terminal	is proposed to be located:
	Add:		
	City:	State:	
	Pin:		
	Tel.:Fax:		
	Email:		

6. Name and designation of the person : (In-charge of the above office)

### **DETAILS OF THE PROPOSED USER (CTCL User)**

7.	Name of the person for whom this appinitials):		lotme	nt of Us	ser ID i	s made <i>(e)</i>	rpand al
8.	Date of birth of proposed user	:				_	
9.	Name of father of proposed user	:					
10.	Permanent address of proposed user	:					
		Tel. No.:					
11.	Present address of proposed user	:				_	
						<del></del>	
12.	Qualification(s) of proposed user	:					
13.	Authorize person (In case of FNO Seg	ment only)	:				
14. (	Registration No. of the NCFM test enclose copy of the NCFM certificate)		:				
15.	Validity Date of NCFM certificate		:				
				DD	MM	YYYY	
	ule (please tick whichever is applicable) ital Market [Please tick the applicable or	•					
	Dealers						
	Derivatives						
16. ( <b>Re</b> ç	Relationship of the proposed user with gister sub broker/Employee / Approv					Approved	l user)
17.	Mode of connectivity for trading from the	he said premi	ses	:			
	(VSAT / LAN / Dial-up / Leased Line	e / ISDN / INT	ERN	ET /R	F)		

### 18. Details of the existing terminal compulsory:

EXAMPLE OF THE DETAILS THAT HAS TO BE PROVIDED BY SUB-BROKER FOR ALL TERMINALS:

TERMINAL NO.	NSE NCFM CASH MODULE	BSE (BCSM)	FNO NCFM DERIVATIVE MODULE	PIN CODE OF THE TERMINAL
	MODOLL		WODOLL	TEIXIIIIIIAE
EXPIRY DATE OF CERTIFICATE				
EXPIRY				

I/We hereby agree and bind	myself/ourselves to be responsible for all acts, quotations made
	made, or effected by(Name o
CTCL User) as our Approved	d User on the Trading System on the Capital Market/Futures &
	ional Stock Exchange. I/We shall ensure that the user for whon
	ot execute any order on his own account or on account of anyone
	ur prior approval in writing. I/We shall ensure that the proposed
	(Name of CTCL User) will not function
place orders / deal on the tra	ading system in any manner in his/her individual capacity and a
	may be placed or executed on the trading system on the Capita
	egment at the National Stock Exchange shall be only on my/ou
be associated with us as a dir	(Name of CTCL User) ceasing to rector/ proprietor/ an employee/ an agent on commission basis/ a
trainee, we shall communicate	ate to you and seek the disablement of the User ID so allotted
· · · · · · · · · · · · · · · · · · ·	are also aware that the NCFM certificate has a validity of 3 years
•	so allotted would be withdrawn by the NSE and ISE Securities &
	of such period unless the said certification is revalidated. I/We
	ot applied for any other User ID in the name o
	(Name of CTCL User) on the same segment fo
	ng applied for. The User ID so allotted would be utilized
	(Name of CTCL User) only to access the CTCl
trading system. I/We also wis	sh to confirm that the office where this CTCL terminal is located
	y me /us and the individual for whom this ID has been sought is
not a person who is ineligible	to participate in the Capital Market/Futures & Options segment o
the National Stock Exchange	e, as per the provisions of SCRA, SEBI Act, NSE Rules & Bye
Laws, ISE Rules & Bye Laws	and ISS Business Rules and Circulars.
•	
I/We hereby agree that any cla	aim, whether admitted or not, difference or dispute between
myself/ourselves and ISE Sec	urities & Services Ltd. (ISS) arising out of transactions done
through ISS, shall be subject t	o the exclusive jurisdiction of Courts in Mumbai
Date:	
<del>-</del>	Stamp & Signature of the Registered Intermediary

I hereby declare that I am aware of the Rules, Bye-laws, Regulations and Circulars issued by the National Stock Exchange and ISE Securities & Services Limited. I agree to becoming a User of the CTCL facility provided by M/s ISE Securities & Services Limited. I undertake to intimate NSE and ISS on ceasing to be a director/ proprietor/ an employee/ an agent on commission basis/ a trainee of the Registered Intermediary. I hereby agree to abide by the Rules, Regulations, Bye-laws and Circulars issued by NSE and ISE Securities & Services Limited that may be in force from time to time and understand that appropriate disciplinary action may be initiated by ISS,ISE and NSE in case of violation of the Rules, Regulations and Bye-laws and Circulars issued by the NSE, ISE and ISS. I affirm that I have not applied for any other User ID on the same segment for which this ID is now being applied for. I will not allow anyone else to access / use the CTCL facility provided by ISS using the User ID so allotted to me.

I/We hereby agree that any claim, whether admitted or not, difference or dispute between myself/ourselves and Registered Intermediary arising out of transactions done through ISS, shall be subject to the exclusive jurisdiction of Courts in Mumbai

Date:	
Place:	Name and Signature of User

#### **REQUEST / AUTHORITY LETTER**

(To be received from the Registered Intermediary of ISS on their letterhead) (To be submitted on the letterhead of the Registered Intermediary of ISS)

Date:
To,
HDFC Bank Limited Fort Branch Mumbai – 400 013
Dear Sir/Madam, Sub: Request / Authority
We have opened a Settlement A/c bearing no: (said account") with HDFC bank for clearing & settlement purpose of ISE Securities & Services Limited.
We authorize you to debit our clearing & settlement account no ("Said Account") for amounts payable to ISE Securities & Services Limited in connection with the settlement obligations/margins/any such other debits as specified by ISS. These amounts will be advised to you by ISE Securities and Services Limited through their duly authorized personnel, which shall be sufficient instructions to you to act accordingly, in the same manner as instructed by us.
In the event of ISE Securities & Services Limited availing E-Net facility from you, which allows them to operate its account and do transactions on line via Internet, we hereby unconditionally allow and authorize you to provide viewing facility and account operating rights (including giving of instructions to debit the above mentioned clearing & settlement account) to ISE Securities & Services Limited for our account with your bank.
We confirm having irrevocably authorized ISE Securities & Services Limited to operate the said current account with you through its authorized signatory/ies for purpose of transfer of funds from our clearing & settlement account to the account of ISE Securities & Services Limited. We further hereby authorize you to provide user password and / or any material details to the authorized signatory/ies of ISE Securities & Services Limited for the aforesaid purposes, at our entire risk and responsibility. The said authority cannot be withdrawn or modified without the written consent of HDFC Bank Limited.
We agree and undertake HDFC Bank limited to indemnify against any damage, loss or injury of any nature whatsoever arising out of any transactions, which may so take place in our account.
A copy of our letter addressed to ISE Securities & Services Limited is enclosed for your reference and records.
Thanking you,
Yours faithfully, For

AUTHORISED SIGNATORY (signed by all signatories)

## AUTHORITY LETTER (To be submitted on the letterhead of the Registered Intermediary of ISS)

Date:
To, The Asst. Manager - Finance & Accounts ISE Securities & Services Limited Vashi, Navi Mumbai
Dear Sir/Madam,
Sub: Authority to ISS for Viewing and/or Debiting our Settlement Account No X
With reference to the above and in terms of the agreement arrived at between us and to facilitate trade/clearing & settlement transactions, we hereby irrevocably and unconditionally confirm and state as under:
We hereby authorize you to operate our Current Account No through your X
authorised signatory / nominee for purposes of transfer of funds lying in our account to your account maintained with HDFC Bank Limited at Branch.
The instructions being given by us, as stated above, are irrevocable and cannot be modified by us without your prior written consent.
We authorise you to obtain the user password and/or any material details from HDFC Bank as may be required by you to operate our above mentioned account entirely at our risk and responsibility.
We hereby instruct you to act in accordance with the above.
Kindly sign a copy of this letter as a token of your acknowledgement.
Thanking you,
Yours faithfully, For
AUTHORISED SIGNATORY (signed by all signatories)

CC: HDFC BANK LIMITED

### **ISE Securities & Services**

### **CTCL ID - Activation Form**

ALL Fields are Mandatory and should be complete in all sense.	
Hand Written form will not accpeted.	
Sub-Broker code	
Sub-Broker Name	
SEBI registration no	
CTCL Terminal	New/ Existing /Deactivation
Market Segment	
Office Address where CTCL terminal to be installed:	
Address1	
Address2	
Address3	
City	
State	
Pincode	
Contact Person's Name	
Telephone No. with STD Code	
Fax No. with STD Code	
Email Id	
Mode of Connectivity	
Details of the Approved User in whose name terminal to be activated	

First Name	
Middle Name	
Last Name	
Date of Birth of Approved User	
Address1	
Address2	
Address3	
City	
State	
Pincode	
Contact No. of Approved User	
Email ID of the Approved User	
Father's Details of Approved User	
First Name of Father	
Middle Name of Father	
Last Name of Father	
Registration No. of NCFM/ BCDE Exam	
Expiry Date of NCFM/ BCDE Exam Certificate	
PAN of the Approved User	
Signature of NCFM Certified user on certificate	Yes/No
Relationship of the Approved User	
CTCL terminal alloted on 1/5 scheme, if yes, Name of Approved User correspond to that	

Signature of Subbroker	
Signature of NCFM certified user	
Signature of Terminal Operator	

Mandatory Requirement:(Below part to be filled by ISS)		
1) Attach Copy of NCFM /BCDE certificate		
(ensure that the photocopy is clear and visible)		
2) Attach Proof of Photo-ID card with signature		
on same for verification		
Terminal ID		
Neat user ID		
Terminal details upload date		
Branch Code in ODIN		
Dealer Code in ODIN		
12 digit CTCL ID Code		
Privileges not allowed for Pro		
Date of Activation		
Amount collected		
Name of Person who has activated		
Name of Person who has checked	,	

## **Additional details Required**

Sub Broker Code -

Trade Name :-

	MOBILE NO.	
	DATE	
IENT	NEW	
ON		
C NO		
A/C NO.		
	IENT ON C NO A/C NO.	DATE  IENT NEW  ON  C NO