

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 NCFM/BCSM exam** for BSE/NSE Cash and F&O 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

Checklist for BSE Terminal Activation Documents

Sr. No.	List of documents	Received	Required
1)	BSE terminal activation form.		
2)	Turn over table and fees computation table		
3)	Application form for new terminal in BSE cash segment		
4)	Authority letter and request and authority letter		
5)	Photocopy of BSE sub broker registrar certificate		
6)	Photocopy of BCSM certificate/ mark sheet of CTCL user		
7	CTCL ID Activation form.		

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

BSE 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		
BSE SEBI Reg No / Date		
PAN No		
MAPIN ID		

Name & Designation of the BSE CTCL USER		
<p align="center">In case the Registered Intermediary requires a separate trading terminal for the BSE equities segment, then a separate CTCL terminal will have to be applied for, just as in the NSE segment.</p>		

BANK ACCOUNT / DEPOSIT DETAILS

Bank Name, Br		
Settlement A/c		
You are requested to debit the above mentioned account on (date) for		
Non Cash – FD /BG		
Total Deposit (Cash +Non-Cash)		
Branch Bank Account		

DEMAT DETAILS

Client ID		
DP ID		
DP Name		

DETAILS OF ISE TRADERSHIP / DEALERSHIP

SEBI Registration No		
SEBI Registration Date		
Completed 5 years of Trader/Dealer of ISE and paid SEBI fees for 5 years and next block of 5 years If yes, please submit Annexure A duly certified by a Chartered Accountant as per the SEBI prescribed format enclosed	<input type="checkbox"/> Yes <input type="checkbox"/> No	

FOR OFFICE USE ONLY

CTCL ID No.		Manager No.	
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All the statutory documents for the year ending March 2004 have already been submitted.

Place: _____
Date: _____

Sign & Seal of the Authorized person

REVISED FORMAT OF AUDITORS CERTIFICATE FOR REPORTING TURNOVER

ANNEX - A

Member's name :

Member's trade name :

Member's SEBI Registration number :
(as appearing on the SEBI Registration certificate)

Name of the Stock Exchange :

TURNOVER TABLE

Financial Year	Jobbing turnover (sale side), if any	Jobbing turnover (purchase side), if any	PSU bonds/ Govt securities turnover (two-side), if any	Other debt market turnover (two-side), if any	*Carry-forward turnover, if any	Carry-forward off-setting entry turnover, if any {to be given only if included in (6) }	Off-market turnover (two-side), if any	Other turnover (two-side)	Total turnover
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)=(2)+(3)+(4)+(5)+(6) - (7)+(8)+(9)
	Rs.crore	Rs.crore	Rs.crore	Rs.crore	Rs.crore	Rs.crore	Rs.crore	Rs.crore	Rs.crore

***Carry forward turnover shall include carries forward, renewal, badla, ALBM and BLESSES transactions.**

This document should be certified by C. A.

PLEASE FILL ALL THE FILEDS ELSE THE FORM WILL BE REJECTED

Also provide the details of all your existing terminals in the format 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

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) has been appointed by us as an Approved Person at our trading office situated at _____(Address _____ with PINCODE)_____where we have the VSAT / Leased Line/ISDN / Dial-up / Lan connectivity. We further desire that _____(Name of CTCL User) be granted permission to act as our Approved User at the above said office for our trading terminals in the Capital Market / Futures & Options [*strike out whichever is not applicable*] segment. The details of the office where the terminal is located and other relevant details are furnished below.

1. Terminal No. To Be Activated: _____
2. Segment in which terminal is Activated (NSE/BSE/F&O) _____
(Fill different form for different segment)
3. Registered Office address of Registered Intermediary: _____

4. Status of the office where terminal is located (select one)

MAIN OFFICE
BRANCH OFFICE
REGISTER SUB BROKER
REGISTER OFFICE

5. Status and Address of our office where 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)

DETAILS OF THE PROPOSED USER (CTCL User)

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

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 : _____

12. Qualification(s) of proposed user : _____

13. Authorize person (In case of FNO Segment only)
: _____

14. Registration No. of the NCFM test
: _____
(*enclose copy of the NCFM certificate*)

15. Validity Date of NCFM certificate :

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DD MM YYYY

Module (please tick whichever is applicable)

Capital Market [Please tick the applicable one]

- Dealers
- Derivatives

16. Relationship of the proposed user with the Registered Intermediary:

(Register sub broker/Employee / Approved person of Reg-Sub-broker / Approved user)

17. Mode of connectivity for trading from the said premises :

(VSAT / LAN / Dial-up / Leased Line / ISDN / INTERNET / RF)

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
EXPIRY DATE OF CERTIFICATE		Kindly Update Existing terminal details. If terminal is not exist, only fill N. A.		

I/We hereby agree and bind myself/ourselves to be responsible for all acts, quotations made and transactions done, trades made, or effected by _____ (Name of CTCL User) as our Approved User on the Trading System on the Capital Market Segment of the Bombay Stock Exchange. I/We shall ensure that the user for whom approval is sought now will not execute any order on his own account or on account of anyone without such order having our prior approval in writing. I/We shall ensure that the proposed Approved User _____ (Name of CTCL User) will not function / place orders / deal on the trading system in any manner in his/her individual capacity and all such orders and trades that may be placed or executed on the trading system on the Capital Market segment at the Bombay Stock Exchange shall be only on my/our account. In case of _____ (Name of CTCL User) ceasing to be associated with us as a director/ proprietor/ an employee/ an agent on commission basis/ a trainee, we shall communicate to you and seek the disablement of the User ID so allotted against this application. I/We are also aware that the BCSM certificate has a validity of 3 years and accordingly the User IDs so allotted would be withdrawn by the BSE and ISE Securities & Services Ltd. on the expiry of such period unless the said certification is revalidated. I/We certify that we have not applied for any other User ID in the name of _____ (Name of CTCL User) on the same segment for which this ID is now being applied for. The User ID so allotted would be utilized by _____ (Name of CTCL User) only to access the CTCL trading system. I/We also wish to confirm that the office where this CTCL terminal is located belongs to me/us or rented by 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 segment of the Bomay Stock Exchange, as per the provisions of SCRA, SEBI Act, BSE Rules & Bye Laws, ISE Rules & Bye Laws and ISS Business Rules and Circulars.

I/We hereby agree that any claim, whether admitted or not, difference or dispute between myself/ourselves and ISE Securities & Services Ltd. (ISS) arising out of transactions done through ISS, shall be subject to the exclusive jurisdiction of Courts in Mumbai

Date:

Place: _____ Stamp & Signature of the Registered Intermediary

I hereby declare that I am aware of the Rules, Bye-laws, Regulations and Circulars issued by the Bombay Stock Exchange and ISE Securities & Services Limited. I agree to become a User of the CTCL facility provided by M/s ISE Securities & Services Limited. I undertake to intimate BSE 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 BSE 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 BSE in case of violation of the Rules, Regulations and Bye-laws and Circulars issued by the BSE, 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

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 Settlement A/c No. through your authorized signatory / nominee for purposes of transfer of funds lying in our account to your account maintained with HDFC Bank Limited at _____ Branch.

X

X

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

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 no. _____ (Said account”) with HDFC bank for clearing & settlement purpose of ISE Securities & Services Limited. X

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. X

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)

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 allotted on 1/5 scheme, if yes, Name of Approved User correspond to that	

Signature of Subbroker	
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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	