

**APPLICATION FORM FOR OBTAINING RECOGNITION AS SUB-BROKER  
WITH MEMBER OF BSE LTD.**

|    |  |  |
|----|--|--|
| 1  | Name of applicant sub-broker   |  |
| 2  | Trade name of sub-broker, firm, corporate body   |  |
| 3  | Type of organization (sole proprietor/partnership/corporate) [Kindly provide name/s of proprietor/partners/directors]    |  |
| 4  | Office address (place from where sub-broker will be operating)   |  |
| 5  | Office phone no. (including mobile no. of the Director(s)/Partner(s)/proprietor) and Fax no.                             |  |
| 6  | Correspondence address   |  |
| 7  | Email ID   |  |
| 8  | Mapin (JIN) number of the Sub-broker   |  |
| 9  | Education qualification of proprietor / partners / directors   |  |
| 10 | Experience in the capital market of Director(s)/partner(s)/proprietor  |  |
| 11 | Name and clearing no. of main member to whom affiliated  |  |
| 12 | Date of signing agreement with member  |  |
| 13 | Sub-broker affiliated to any other Exchange - if Yes provide the details of SEBI Registration No. & Date of Registration |  |
| 14 | Whether any case/claim/arbitration pending against the sub-broker in any Court/Exchange (provide details)                |  |
| 15 | Whether associated in any way with any other broking firm, if yes, in what capacity                                      |  |
| 16 | In case of applicant is member of Regional/Multiple Stock Exchange provide details of SEBI Reg. No.                      |  |

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

Signature of applicant

Date:

Place:

**FORM B**  
**SECURITIES AND EXCHANGE BOARD OF INDIA**  
**(Stock Brokers and Sub-Brokers) Regulations 1992**  
**(Regulation 11)**

**APPLICATION FORM FOR REGISTRATION AS A SUB-BROKER WITH SECURITIES AND EXCHANGE BOARD OF INDIA**

1. Name of applicant sub-broker:
2. Trader name of sub-broker, partnership-firm, corporate body.
3. Form of organization – Sole proprietor, partnership, corporate body. Please give name/s of proprietor, all partners, directors
4. Educational qualifications of proprietor, partners, directors etc.

| Name | Status | Qualification/s |
|------|--------|-----------------|
|------|--------|-----------------|

5. Name of the member-broker and Stock Exchange to which applicant is affiliated.
6. Date of acquiring sub-brokership
7. Infrastructure arrangements - indicate fax, telex, phones, number of employees, offices and residential numbers.

Office Address

Phone No

Telex No

Fax No

Residential phone nos. of proprietor, partners, directors etc.

8. Number of branch offices and their location with phone, telex and fax numbers.

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

Recommendation letter from the stockbroker to whom I/we am/are affiliated and two references, including one from the banker as required are enclosed.

Signature\_\_\_\_\_

Date\_\_\_\_\_

----- Recommendation of the Stock Exchange-----  
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This is to certify that\_\_\_\_\_ is a recognized sub-broker affiliated to\_\_\_\_\_ member-broker of this Exchange.

The application is **recommended** for registration by the SEBI.

AUTHORISED SIGNATORY

\_\_\_\_\_ Stock Exchange.

**FORM C**  
**SECURITIES AND EXCHANGE BOARD OF INDIA**  
**(Stock Brokers and Sub-Brokers) Regulations 1992**

**RECOMMENDATION LETTER TO BE GIVEN BY THE MEMBER WITH WHOM THE SUB-BROKER IS AFFILIATED**

To,

Bombay Stock Exchange 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 a sub-broker.

I/We confirm that \_\_\_\_\_ is transacting business through me for a period from \_\_\_\_\_ and he is a fit and proper person to be registered as a sub-broker.

I/We also confirm that he is known to me/us for well over \_\_\_\_\_ years and he has got good financial background, moral character and integrity. He has been transacting business frequently and was meeting the market commitments as and when they arise.

I/We hereby recommend his application for granting registration for carrying on shares and securities business as sub-broker. I/We also wish to state that whatever 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 about the same.

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

Yours faithfully,

Signature of Member/s with SEBI Registration Stamp

**FORM CA**  
**SECURITIES AND EXCHANGE BOARD OF INDIA**  
**(Stock Brokers and Sub-Brokers) Regulations 1992**

RECOGNITION LETTER TO BE ISSUED BY THE STOCK EXCHANGE

To

The Securities and Exchange Board of India,

\_\_\_\_\_

\_\_\_\_\_

Mumbai.

Dear Sir,

This is to certify that \_\_\_\_\_ has been recognized as a sub-broker by the Exchange being a sub-broker affiliated to member broker \_\_\_\_\_ of this Exchange.

Place:

Date:

Authorized Signatory

For and behalf of \_\_\_\_\_ Exchange

**Format for submitting Authorization Letter for debiting SEBI Sub-Broker  
Registration Fee to Member's CHB  
(On Member's Letter Head)**

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

The Membership Department,  
Bombay Stock Exchange Limited  
PJ Towers, Dalal Street,  
Fort, Mumbai.

**RE : Authorization for debiting SEBI Sub-Broker Registration Fee to our Clg  
Hse A/c**

Dear Sir,

This has reference to our sub-broker application of \_\_\_\_\_  
enclosed herewith for SEBI Registration.

As per your notice dated 03 Jan 2006, we hereby authorize Bombay Stock Exchange Limited to debit a sum of **Rs.1000/-** (Rupees One Thousand Only) to our General Charges Account maintained with the Clearing House towards SEBI Registration Fee of the enclosed sub-broker application.

You are requested to kindly do the needful.

Thanking you.

Yours truly,

XXXXXXXXXXXX

Director / Authorized Signatory

## **UNDERTAKING**

(ON LETTERHEAD OF MEMBER)

**[Trading member should submit this undertaking only in case of applicant is already registered as remiser or applied for remisership with the Exchange]**

I/We hereby certify that the applicant (Name of Sub-Broker) is a registered Remiser / applied for Remisership with the Bombay Stock Exchange Ltd. affiliated to member \_\_\_\_\_

In view of the applicant's (Name of Sub-Broker) applied for Sub-Broker registration with the Bombay Stock Exchange Ltd and SEBI through us, I/We hereby undertake that He/She/They will cancel the remisership registration if already registered, immediately on receipt of Sub-Broker Registration certificate from SEBI.

In case of non-compliance on any part, the Exchange may take necessary disciplinary action as per the Rules, Byelaws and Regulations of the Exchange.

Signature  
Proprietor / Partner / Director  
(with rubber stamp & SEBI Registration No.)

Date:

[Letter to be submitted by member of the Exchange on letterhead - in case of withdrawal of sub broker registration application before it is submitted to SEBI for registration.]

Date:

The Membership Department,  
Bombay Stock Exchange Limited  
PJ Towers, Dalal Street,  
Fort, Mumbai.

Sub: **De-recognition and withdrawal of sub broker registration application of  
[name of sub broker].**

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Dear Sir,

With reference to the above captioned subject, we would like to request you to kindly de-recognize the aforesaid sub broker and return the application at the earliest.

Kindly do the needful.

Thanking you,

Yours faithfully,

Name and Sign of the member