

Updated as on 7th December,2005

Guideline for Remisier Registration.

Requirements :

1. Covering letter on letter head of Member regarding appointment of Remisier and addressed to Membership Department alongwith Remisier application Form. with undertakings (Remisier Application Form available at : Ground Floor, Publication Counter. Or from web site : www.bseindia.com/about/downloads.asp)
2. Form-A & Undertaking A should be signed by the Member of the Exchange or any of Partners. In case of a Corporate Member Form A & Undertaking A should be signed by the designated director or director or authorized signatory and a copy of the board resolution for authorizing them to sign the above forms and undertaking should be enclosed with every application.
3. In case of Individual, the applicant is required to Fill up Form A, Form B. If his education is below H.S.C, he is required to submit experience certificate related to capital market.
4. In case of Partnership Firm the applicant is required to fill up Form A, Form C and annexure for each partner and enclosed Certified True copy of Partnership Deed.
5. Discharge certificate is for cancellation of Remisier registration. Please note that when a Discharge Certificate of another Broker is enclosed with the application, please ensure that the earlier Remisier Registration of that applicant must be cancelled by the Exchange with that of earlier member.
6. Certified True Copy (ANY ONE) : Passport, Driving License, Ration Card, Voters Identity Card, Copy of Income tax return of applicant or for each Partner of applicant who want to become remisiers. Certification can be done by Chartered Accountant or Member of the Exchange or Partner/ Designated Director of Member Company or Special Executive Magistrate .
7. Specify the nature of Business in present occupation in Form B and also fill up all the particulars as applicable. Undertaking A and Undertaking B are both required to submitted.

Important Note :

- ⇒ **It may be noted that the applicant can be a remisier to only One Member at a time.**
- ⇒ **Sub-Broker registered with SEBI, Member of Other Exchange, can not become a Remisier.**
- ⇒ **Only an Individual or Partnership Firm can become Remisier.**

⇒ Applicants who work as Employees of any Individual , Firm or Organization can not become a remisier. However employees of a Member can become remisier for that member only.

⇒ It is not compulsory for Members of the Exchange to appoint remisiers but Members should ensure that they should deal with a registered entity only.

⇒ Age limit for Remisier is 21 years.

⇒ Member/applicant are required to read the form carefully and also go through Rules , Regulation and Bye-laws of the Bombay Stock Exchange Ltd. related to remisier before appointing /applying for Remisier Registration.

FORM A
Form for Approval of Appointment of Remisier
(To be filled in by the Member)

Name of the Member :

Address :

Clearing No :

Date :

**The Secretary,
Bombay Stock Exchange Ltd.,
Mumbai.**

Sir,

I/We hereby appoint Mr./Ms./M/s.....
as my/our Remisier.

I/We declare that all particulars and information given in the enclosed form duly filled
in by my/our the abovementioned remisier are true and correct.

Yours faithfully,

Signature & Rubber Stamp of Member _____

FORM B

Form for Approval of Appointment of Remisier

(To be filled in by the Remisier who is an Individual)

1. Name :
2. Trade Name :
3. Address, Telephone/Fax Numbers :
 - (a) Residence :
 - (c) Office :
4. Date of Birth :
5. Sex : Male / Female
6. Educational Qualification :
7. Present Occupation :
8. Residential Status : Resident Indian/ Non-Resident Indian/Others
9. Particulars of the Bank Account
(Any one)
 - Name of the Bank
 - Branch (Address & Tel. No.)
 - Bank Account Number
 - Date of opening of account
10. Income Tax No. (PAN/GIR) :

Please attach
latest photograph
& sign on the
photograph

11. A certified copy of any one of the following proof of identity should be submitted:

- Passport
- Driving Licence
- Ration Card
- Voters Identity Card
- Copy of Income Tax return

12. State any other relevant information ,which in your opinion, should be disclosed to the Exchange :

I, hereby further declare that

13. * I am/was a Remisier of
and I send herewith his/her/their clearance/discharge certificate .

14. I shall not issue contracts nor bills nor any confirmation memo for shares and securities in my own name.

15. I have read the present Rules, Bye-laws and Regulations of the Exchange and undertake to abide by them and any modification/amendment thereof.

16. I undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into, with or through him/ on account of my clients or in relation to any Stock Exchange matter during my continuance as a Remisier of
I shall be bound to refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the Exchange which are applicable to Remisier that any decision in such Arbitration shall be final and binding on me.

17. During my continuance as a Remisier of
(name of member)

I shall not work as an employee / sub-broker /remisier of any member, individual, firm or organisation.

The information furnished above is true to the best of my knowledge and belief, and I undertake to inform you of any change therein immediately in writing.

Signature of
Remisier

* Please strike off if not applicable.

FORM C

Form for Approval of Appointment of Remisier

(To be filled in by the Firm desirous of becoming a Remisier)

1. Name of the Firm:
2. Address, Telephone/Fax Numbers :
3. Copy of Partnership Deed /registration certificate:
4. Details of all the Partners of the Firm (as per **Annexure**) :
5. Particulars of the Bank Account from which the Firm will carry out the transactions :
 - Name of the Bank
(Any one)
 - Branch (Address & Tel No)
 - Bank Account Number
6. Income Tax Number of the Firm (PAN/GIR):
7. Whether registered with any other broker-member :
 - Name of Broker :
 - Name of Exchange :
8. State any other relevant information ,which in your opinion, should be disclosed to the Exchange :

We, hereby further declare that

- 9.* We are/were a Remisier of
and we send herewith their clearance/discharge certificate.
10. We shall not issue contracts nor Bill nor any confirmation memo for shares and securities in our own name.

11. We have read the present Rules, Bye-laws and Regulations of the Exchange and undertake to abide by them and any modification/amendment thereof.

12. We undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into, with or through them on account of our clients or in relation to any Stock Exchange matter during our continuance as a Remisier of we shall be bound to refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the Exchange which are applicable to Remisier that any decision in such Arbitration shall be final and binding on us.

13. During our continuance as a Remisier of
(name of member)
we shall not work as a Remisier /Sub-broker of any other member.

The information furnished above is true to the best of our knowledge and belief, and we undertake to inform you of any change therein immediately in writing.

Place : Authorised Signatory :

Date : Name :

* Please strike off if not applicable.

Annexure

(Enclosure to the application form of _____)

(Name of the Firm)

1. Name of the Partner :
2. Residential Address & Telephone Numbers :
3. Educational Qualification :
4. Present Occupation :

Please attach latest photograph & sign on the photograph

5. Income Tax No. (PAN/GIR) :

6. Bank Account Details :
(Any one)

- Name of the Bank
- Branch (Address & Tel. No.)

- Bank Account Number
- Date of opening of account

7. A certified copy of any one of the following proof of identity should be submitted :

- Passport
- Driving Licence
- Ration Card
- Voters Identity Card
- Copy of Income Tax return

8. State any other relevant information, which in your opinion, should be disclosed to the Exchange :

I, hereby further declare that

9. I have read the present Rules, Bye-laws and Regulations of the Exchange and undertake to abide by them and any modification/amendment thereof.

10. During my continuance as a Remisier of
.....
(name of member)

I shall not work as an employee / sub-broker /remisier of any member, individual, firm or organisation.

The information furnished above is true to the best of our knowledge and belief, and I undertake to inform you of any change therein immediately in writing.

Signature of
Partner.....

DISCHARGE CERTIFICATE

Name of the Member :

Address :

Clearing No :

Date :

The Secretary,
Bombay Stock Exchange Ltd.,
Mumbai.

Sir,

As per the rules of the Exchange, I/We hereby advise that Mr./Ms./M/s. _____ has voluntarily ceased to be my/our Remisier.

To the best of my/our knowledge his/her/their conduct(s) is/are good.

I/We have no claim against him/her/their and I/We have no objection to any other member of the Exchange employing him/her/them as a Remisier.

Yours faithfully

Signature & Rubber Stamp of Member _____"

Undertaking : A

DECLARATION CUM UNDERTAKING OF MEMBER TO BSE.
(ON LETTER HEAD OF MEMBER)

To ,
The Secretary ,
Bombay Stock Exchange Ltd.,
Mumbai.

Sub : Remisier Application .

As per the Rules, Regulations & Bye-laws of the Exchange, I/We hereby engage Mr./Ms./M/s..... as our Remisier. I/We hereby declare that all particulars and information furnished by Mr./Ms./M/s. in the enclosed Remisier Application Form is verified by me and found to be true & correct . I/we hereby undertake to inform you of any change in the details mentioned by Mr./Ms./M/s..... immediately in writing.

Further, I /We hereby declare that Mr./Ms./M/s..... have read and understood the present Rules, Bye-laws and Regulations of the Exchange pertaining to Remisier and he/she/ they undertake to abide by them and any modification/amendment thereof.

Further, I /we hereby declare that Mr./Ms./M/s..... have not ever been suspended, expelled or declared a defaulter by the Exchange or by any other exchange or by SEBI or any other Regulatory Authorities and Mr./Ms./M/s..... have not been convicted of and presently not on trial for any offence involving fraud or dishonesty.

I have read the present Rules, Bye-laws and Regulations of the Exchange and I undertake to abide by them and any modification/amendment thereof.

Rubber Stamp of Member

Signature _____

Name: _____

Designation : _____

(Member/Partner/Designated Director)

Date ____ / ____ / ____

(DD / MM /Year)

Undertaking : B

DECLARATION CUM UNDERTAKING GIVEN BY REMISIER TO MEMBER

(Name & Address of Applicant)

To
Name of the Member :
Address :
Clearing No :

Sub : Remisier Application .

As per the Rules, Regulations & Bye-laws of the Exchange, We /I Mr./Ms./M/s.....would like to engage myself/ourselves as Remisier/(s) of Mr./Ms./M/s..... . I/We hereby declare that all particulars and information furnished by me/us to Mr./Ms./M/s..... in the enclosed Remisier Application Form is true & correct . I/we hereby undertake to inform you and Bombay Stock Exchange Ltd. about any change in the details mentioned in the said application form immediately in writing.

Further , I /We hereby declare that myself or ourselves or any partner or any director of the organisation have not ever been suspended, expelled or declared a defaulter by the Exchange or by any other exchange or by SEBI or any other Regulatory Authorities and I/we have not been convicted of and presently not on trial for any offence involving fraud or dishonesty.

Further , I /We hereby declare that I /We have read and understood the present Rules, Bye-laws and Regulations of the Exchange pertaining to Remisier and undertake to abide by them and any modification/amendment thereof.

Signature of Applicant _____

(In case of Partnership Firm : All the Partners should sign the undertaking)

Name: _____

Designation : _____

(Individual /Partner/ Director)

Date ____/____/____

(DD / MM /Year)