

Application seeking Individual Deposit Based Membership of
The Calcutta Stock Exchange Limited

(to be typed on the Letter Head of Individual entity)

To
CEO & Managing Director
The Calcutta Stock Exchange Limited,
7, Lyons Range,
Calcutta.700 001.

Madam/Sir,

Sub: Application for admission to Deposit Based Membership of CSE

I,.....(Name) S/o.....
of.....(Address).....
.....(Telephone including Mobile) hereby apply for Deposit Based Membership on the
Calcutta Stock Exchange Limited.

I am forwarding to you the relevant documents as per your checklist attached along with this form
for your kind perusal.

I request you to kindly accept my application and consider me for admission as a Deposit Based
member on the Calcutta Stock Exchange Limited ("the Exchange"). I hereby declare that I am a citizen of
India and I am of sound mind. I confirm that all statements and the declaration made by me are true and
correct. I understand that CSE is free to initiate such action as may be deemed necessary including
termination of my membership and forfeiture of admission and other fees paid by me, if any of my
declarations/statements are found to be incorrect. I further confirm that I also fulfill the eligibility
requirements for Deposit Based Membership of Stock Exchange as laid down in Rule of Securities Contract
(Regulations) Rules, 1957.

I hereby undertake to conform to and to abide by the Memorandum & Articles of Association and
the Rules, Byelaws, Regulations, Business-Rules, Circular, Notifications and office orders, issued by the
Exchange from time to time. I shall be liable for all contracts and transactions, in the exchange and in any
other trading platform as available for trading in the capacity of a trading member of the Exchange, entered
by me or by my authorized representatives and I shall comply with all requirements of the Exchange
relating to settlement thereof. I also abide by all decisions of the Exchange with respect to the operation of
the Exchange and would perform accordingly in meeting my financial, regulatory and operational
responsibility as decided by the Exchange from time to time.

Please find enclosed our application along with a demand draft no.amounting to Rs.
10,000/- as admission fees plus of service tax @ 12.36% payable at par in Kolkata in favour of 'The
Calcutta Stock Exchange Limited'. (Please write the applicant's name and the name of the company on the
reverse of the Demand Draft.)

Date :
Place : Kolkata

Signature of the applicant

**CHECK LIST OF DOCUMENTS ATTACHED ALONGWITH THE APPLICATION FOR
CSE DEPOSIT BASED MEMBERSHIP INDIVIDUAL/PARTNERSHIP**

[please (✓) tick the relevant documents being attached]

1.	Bio-data of the Proprietor (should give detailed information of the nature of work and number of years experience in each position). Specify number of years experience in activities related to securities industry, banking service, financial services etc. with relevant details	
2.	Proof of age	
3	Proof of Educational Qualification of the applicant	
4.	Experience Certificate of the Applicant	
5.	No objection certificate / status report from the Stock Exchange where the applicant is also a member of the concerned Stock Exchange	
6	Latest Audited Balance Sheet (two copies in original) along with Certified statements of Quoted Investments, Govt. Securities & Bond Fixed Deposits and Liabilities Latest Income Tax & Wealth Tax Assessment orders and returns with valuation certificate for other Assets	
7.	Networth Certificate duly certified by the Chartered Accountant – as per Annexure – A-1 & A-2/AA-2	
8	Xerox copy of PAN Card & Voter I.D.	
9	<p>Undertakings : - (in a stamp paper of Rs. 100)</p> <ul style="list-style-type: none"> • Undertaking from the applicant that he/she shall not do any other business other than shares and securities. <input type="checkbox"/> • Undertaking from the applicant that he/she have never been convicted of any offence involving fraud, dishonesty, under any criminal/other law by any court in India. <input type="checkbox"/> • Undertaking from the applicant that he/she had not introduced through any member broker/sub-broker of the Exchange any fake/forged stolen shares in the Exchange/Market <input type="checkbox"/> • Undertaking from the applicant that he/she will not be engaged in himself/herself in fund-based activities <input type="checkbox"/> • Undertaking that he/she has not been declared as debarred entity by SEBI <input type="checkbox"/> 	
10	Sealed confidential bank reference – as per Annexure A-3	
11.	Certificate by the applicant - as per Annexure – A-4	
12.	Details of other stock exchange – as per Annexure – A-5	
13.	Details of Proprietor / Individual - Annexure A-6	
14.	Details of infrastructure/office - Annexure A-7	

Note : 1. All Xerox copies should be attested by a Gazette Officer/Notary Public

2. The Networth should be computed as on March 31, of the last financial year, (based on audited balance sheet) and presented in the prescribed format given in Annexure – A-1 & A-2 along with the computation sheet. For registered firms net worth of each partner should also be submitted. Details of each item considered in the computation should be submitted along with the networth certificate and computation sheet. Thus, details of investments, current assets, current liabilities, fixed assets including land and building, Debtors outstanding for more than 3 months etc. should be specifically stated. Even if the amount of any item involved in the computation is nil, it should be stated in the computation. List of investments valued at market price as on March 31, of the last financial year

3. When any individual or group of Individuals, other than members of a family , not exceeding four in numbers , holding 51 % of the paid up equity capital (40% in case of listed companies) directly and no through any corporate entity , firm or Hindu undivided family (HUF) such holding shall be considered to be 'dominant shareholding' and any individual or group of individuals holding such dominant shareholding shall be considered to be 'dominant promoter group' . Any change in such shareholding of the company ,including that of the said dominant promoter group or their shareholding interest , shall be 'dominant promoter group ' .Any change in such shareholding of the Company , including that of the said dominant promoter group , or their shareholding interest , shall be effected only after prior approval from the stock Exchange . For arriving at the shareholding of persons constituting the dominant promoter group , the shareholding of their family members may be counted provide these relatives give an irrevocable and unconditional support in writing in the prescribed format as required by the Exchange . Any change in the dominant group would require the member / trading member to seek fresh approval of the Exchange as if for admission of new member /trading member and to pay approval/transfer fee , as the case may be and /or additional deposits to the Exchange and also abide by such conditions as the Exchange may stipulate while granting such approval /transfer.



APPLICATION FORM
(To be completed in Capital Letters)

1. Name of the Applicant

.....

Affix Passport Size
Photograph of the
Individual
Applicant

2. Father's Name

3. Present Address

.....

.....

4. Particulars of the Applicant

Name

Age..... Date of Birth

Educational Qualification Experience

.....

.....

Net worth (Rs.)

5. Whether the applicant is a citizen of India

Yes No

6. Business or profession in which the applicant was last occupied.

7. Relationship, if any, to any of the members of the association other than the applicant member.

8A. Is the applicant also a member of other Stock Exchanges

Yes No

Signature of the Applicant



B. If yes, please furnish the details as below (Please enclose the SEBI Registration)

Name of the Exchange/s	Code No.	SEBI Regn.No.

C. Whether No Objection Certificate is obtained from the above Stock Exchanges.

Yes No

9. Whether the applicant is connected with any other business or profession

10. Whether even adjudged bankrupt or proved to be insolvent

11. Whether ever compounded with creditors, if yes, on what terms

12. Whether at any time expelled or declared a defaulter by any other Stock Exchange

13. Whether engaged in fund based activities for 3 years

14. Whether at any time your application was rejected by the Calcutta Stock Exchange Ltd., if yes, please mention the date of rejection and the reason thereof

15. In case of partnership firm, all the details of partners required

16. Any other information that may be relevant :

.....
.....
.....

Signature of the Applicant

BIO-DATA

Name :

Father's Name :

Date of Birth :

PAN :

Address :

Educational Qualification :

Experience :

Proprietor

PRO-FORMA OF EXPERIENCE CERTIFICATE

TO WHOMSOEVER IT MAY CONCERN

This is to certify that _____ son / daughter of _____ residing at _____
has worked in our organization as (Designation) from _____ to _____ and is having
good experience and knowledge in Capital Market.

Dated :-

Proprietor

ANNEXURE : A-1
(For Individuals)

Certificate dated _____ submitted by _____ to CSE

NETWORTH CERTIFICATE

(In original & on the letterhead of the Chartered Accountant)

This is to certify that the Net worth of M/s./Mr./Ms. _____ as on _____ as per the statement of computation of even date annexed to this report is Rupees _____ only).

We further certify that:

- M/s./Mr./Ms. _____ is not engaged in any fund-based activities or business other than that of securities. Existing fund based assets, if any have been divested from the books of account and have not been included for the purpose of calculation of network.
- the computation of network based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor
Chartered Accountant
Membership Number

(Note: Methodology for calculating network is given in Annexure A-2 /AA-2)

ANNEXURE – A-2

A) Computation of network for an individual

Sr.#	Particulars	Rs.	Rs.	Rs.
1.	Listed (Quoted) Investments (Not pledged)			
2.	Market value of listed (quoted) securities (other than Government) in the name of member (forming part of the Balance Sheet)	X		
3.	Margin of 30% on Market value of listed (quoted) securities (other than Government) i.e. 30% of 2	X		
4.	Net value of listed (quoted) Investments (other than Government i.e. 2-3)		X	
5.	Bonds/Government Securities (Not pledged)			
6.	Market value of listed (quoted) securities (Government) in the name of member (forming part of the Balance Sheet)	X		
7.	Margin of 10% on 5 of Market value of listed (quoted) securities (Government) i.e. 10% of 6	X		
8.	Net value of listed (quoted) Investments (Government) i.e. 6-7		X	
9.	Other Investments at cost			
10.	Fixed deposits (Other than deposited to CSE including membership card)		X	
11.	Public Provident Fund (50% of the investment provided if it is more than three years standing)		X	
12.	Total Net Investments (4+8+10+11)		X	
13.	Receivables which are less than 3 months old		X	
14.	Loans, Advances and Deposits			
15.	Deposits excluding non-refundable deposits		X	
16.	Cash & Bank Balance		X	
17.	Other Liquid Assets, if any, (specify), which are used for the purpose of business		X	
18.	Total Assets (12+13+15+16+17+18)			X
19.	Current liabilities			
20.	Long Term liabilities			
21.	Total liabilities (20+21)			X
22.	Net Worth (19-22)			X

Annexure AA2

Format for Calculation of net worth for an Individual , Partnership & Corporate Firm

Capital + Free Reserves

Less :- Non-allowable assets viz.,

- (a) Fixed Assets
- (b) Pledged Securities
- (c) Member's Card
- (d) Non-allowable Securities (Unlisted Securities)
- (e) Bad deliveries
- (f) Doubtful Debts and advances
- (g) Prepaid Expenses and Losses
- (h) Intangible Assets
- (i) 30 % of marketable securities

Explanation :

Includes debts/advances overdue for more than three months or given to associates.

ANNEXURE – A-3

(BANKERS REPORT)

1. Name :
2. Address :
:
:
3. Nature of Account :
4. Account Number :
5. Length of Association :
(No. of years)
6. Bankers Observation :
.....
.....
.....

Bank's Stamp

Issuing Authority

(Designation)

ANNEXURE - A-4
(For Individuals)

FORMAT OF CERTIFICATE TO BE FURNISHED BY APPLICANT
ALONGWITH APPLICATION

From :

The name and address of the proposed Deposit Based Member

To
CEO & Managing Director
The Calcutta Stock Exchange Ltd.
7, Lyons Range
Kolkata – 700 001

Dear Sir / Madam,

Referring to our application for admission to the Deposit Based Membership of the Exchange, we state the following:

1. My networth as on _____, computed and certified on the prescribed format as indicated in Annexure A-1, is Rs._____. (Networth should be indicated as on March 31, of last financial year or later).
2. I am not engaged as principal or employee in any fund based activity or any business other than that of securities, except as a broker or agent not involving any personal financial liability or for providing merchant banking, underwriting or corporate or investment advisory services, as permitted by SEBI.
3. Details of membership(s) in any stock exchange in my name/firms in which I am a partner/ the company (including its subsidiaries) in which I am a promoter or director are given in Annexure-A-5 It is further certified that none of these memberships have even been suspended/ expelled/ penalized/ declared defaulter or any other disciplinary action initiated there against by the concerned Stock Exchanges or any other regulatory authority except as detailed in Annexure-A5
4. I have the requisite direct experience in the securities industry as a broker, sub-broker, authorised assistant, badge holder or remisier, details of which are given in Annexure – A6
5. . Myself/ any of the partners of the firm in which I am a partner / any of the promoters or dominant shareholders of the company in which I have a controlling interest do not singly or jointly have an equity holding of 10% or more and/or any share in my/their own name and/or jointly with any of my/their close relatives in any other trading member of CSE.

I hereby state that the information given above is true, correct and complete to the best of my knowledge and information. I also state that no relevant material fact has been suppressed. I agree that in the event of any of the above statements being found false, incorrect or incomplete, I recognise that Calcutta Stock Exchange Limited may take any action as it may deem fit, including termination of the trading membership.

I hereby undertake to inform Calcutta Stock Exchange Limited about any change in the above mentioned facts within 15 days from the date of the change taking place/ coming to my knowledge, whichever is earlier.

Place :
Date :

Signature of the Applicant

ANNEXURE : A – 5

Certificate dated _____ submitted by _____ to CSE

DETAILS OF STOCK EXCHANGE MEMBERSHIPS

<u>S.N</u>	<u>Name</u>	<u>Relation@</u>	<u>Stock Exchange</u>	<u>Since</u>	<u>Membership No.</u>	<u>Mode of acquisition</u>	<u>Remarks #</u>
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							

Date:

Place:

Signature(s)

NOTES :

@ : Give details e.g. :

SELF for membership in the name of applicant company, Firm.

PARTNER, CHAIRMAN, WHOLE TIME DIRECTOR, DIRECTOR, HOLDING, SUBSIDIARY.

In case of Individuals, give details such as

FIRM in which the applicant is a partner; Details of other partners in the said firm,

COMPANY in which the applicant has controlling interest.

: For each of these memberships, give details of disciplinary action, if any, taken by the Stock Exchange or any other regulatory authority in respect of these memberships with dates in the following format :

☐ Expulsion

☐ Suspension

☐ Default

☐ Any other disciplinary action or enquiry against the member

I confirm that the above stated facts and details are true and correct and I have not misrepresented and / or concealed /suppressed any material facts in this regard.

I also confirm that in the event of any false / incorrect particulars furnished by me or any misrepresentation of facts / suppression /concealment of facts by me, my application for membership may be rejected / my membership registration may be cancelled and penal action may be taken against me.

Date :

Place :

For _____ (Trade name of applicant)

Annexure – A-6
(On letter-head of applicant)

DETAILS OF PROPRIETOR / INDIVIDUAL AS ON

Sr.No	Name \$	Fathers Name \$	Designation	Date of Birth	Education	PAN Number	Residential Address & Telephone/ Mobile Nos./ Email ID/ Fax No.	Directorships/ / controlling shareholding in other cos.
1								
2								
3								
4								

NOTES :

\$ All initials to be expanded

Date:

Place:

For _____(Trade Name of applicant)

(Signature)

Name:

Proprietor

Rubber Stamp

AUDITOR'S CERTIFICATE

This is to certify that the details of Proprietor in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Date:

Place:

For (Name of Accounting Firm)

Signature

Name of Partner/Proprietor

Chartered Accountant

Membership Number

Rubber Stamp

Annexure A-7

In the Letter head of the proprietor

This is to certify that our firm M/s..... has an adequate office space at..... .The firm has all the equipments and adequate manpower to effectively discharge its activities.

Signature of proprietor with stamp

CHECK LIST OF DOCUMENTS ATTACHED ALONGWITH THE APPLICATION FOR CSE DEPOSIT BASED MEMBERSHIP INDIVIDUAL FOR OBTANING SEBI REGISTRATION CERTIFICATE

[please (✓) tick the relevant documents being attached]

1.	Form-A	
2.	Additional information sheet as specified vide SEBI circular dt. March 16, 1998	
3.	Undertaking w.r.t. designated directors/partners/proprietor/ applicant Annexure A-8	
4.	Details of Regulatory Actions by SEBI Annexure A-9	
4.	No action/non-defaulter undertaking Annexure –A 10	
5.	Infrastructure undertaking Annexure A –11	
6.	Fit and proper person/bank undertaking Annexure A-12	
7.	Undertaking to be submitted by the applicant seeking registration / prior approval Annexure A-13	
8.	Name & PAN Card for all the entities Annexure A 14	
9.	Association/Non.Association undertaking Annexure A-15	
10.	Age proof of designated director/managing partner/proprietor	
11.	Education proof of designated director/managing partner/proprietor	
12.	Experience proof of designated director/managing partner/proprietor	
13.	Balance sheet	
14.	Profit and loss statement	
15.	Networth certificate	
16.	Computation of networth	
17.	MoA AND AoA/Partnership Deed	
18.	Board resolution/Managing Partner Authorisation	
19.	Details of proprietor/Individual	
20.	15 Point confirmation Annexure A-16	
21.	Appointment / Change in Compliance Officer –Annexure A-17	

FORM : A
SECURITIES AND EXCHANGE BOARD OF INDIA
(Stock Brokers and Sub-Brokers) Regulations 1992
(Regulation-3)
APPLICATION FORM FOR REGISTRATION AS STOCK BROKERS WITH
SECURITIES AND EXCHANGE BOARD OF INDIA

.....

- Name of the Stock Exchange :
1. Name of Member with Code No. :
 2. Address of Member :
 3. Trade name of Member :
 4. Form of Organization-Sole proprietorship, Partnership, Corporate body, Financial Institution. Please give name of Proprietor/ Partners/Directors :
 5. Educational Qualifications :
 6. Date of Admission of membership :
 7. Whether member of more than one Stock Exchange ? If so, please give name of the Stock Exchange(s) with code no. :
 8. Indicate Fax, Telex and Phone number(s) Office and Residence :
 9. In the case of members admitted on any Stock Exchange after February 21, 1992 the copy of the information given to the Stock Exchange at the time of the admission :

I declare that the information given in this form is true to the best of knowledge and belief.

Dated :

Signature

.....
Recommendation of the Stock Exchange

This is to certify that
with the Securities and Exchange Board of India.

.....
is a member of Exchange and is recommended for registration

The Calcutta Stock Exchange Ltd.

Signature :

Name :

Designation :

**ADDITIONAL INFORMATION TO BE SUBMITTED AT THE
TIME OF REGISTRATION OF STOCK BROKER WITH SEBI**

1. Name of the Stock Exchange :
- 2.a) Name of the Applicant Member Broker :
- b) Exchange Clearing Code No.(allotted By the Stock Exchange) :
3. Trade Name of Member :
4. Address of Member :
- Tel. No.(O) :
- Tel. No.(R) :
- Fax No. :
5. Form the Organisation. Please tick the relevancy
- 1(a) Sole Proprietorship (b) Partnership
- (c) Corporate Body (d) Financial Institution
- 2) Others
- 3) Others

(If an Indian Company is holding more than 25% of total equity in the joint venture, please give details of top five shareholders of Indian Company)

NAME OF INDIAN COMPANY		% HOLDING
<u>Top 5 Shareholders</u>		
1.		
2.		
3.		
4.		
5.		
FIPV Approval if applicable		

6.A) Sole Proprietorship

Name of Proprietor	Educational Qualification	Age (on the date of filing of application)	Experience (specify the nature and years)

B) Partnership

Name of partners	Age (on the date of application)	Educational Qualification	Experience (specify the nature and years)	In case of partner(s) are registered with SEBI, give SEBI Regd.No.

C) Corporate Body (Financial Institution/Others)

1) MOA object clause contains stock broking as one of the object in

a) Main Object

b) Other Object

c) Incidental Object

(If stock broking clause appears in other object, please attach a copy of special resolution to amend the MOA to incorporate Stock Broking in main object clause)

2) Mention relevant clause no.

(Please enclose copy of the relevant clause of the MOA duly certified by the stock exchange. If certified copy is not enclosed application would be returned)

3) Information regarding directors

Name of directors with Designation whether whole time/designated /additional	Percentage of Share holding	Educational Qualification	Experience (specify the nature and years)	Whether directors in other corporate bodies engaged in capital markets (please give names and SEBI Regd.No.

4) Details of top five shareholders

Name of shareholders	Percentage of Share holding	Educational Qualification	Experience (specify the nature and years)	Whether directors in other corporate bodies engaged in capital markets (please give names and SEBI Regd.No.

7. a) Date of admission to Membership of

b) Mode of Acquiring Membership (Please attach old SEBI Registration certificate in all cases other than the cases of new membership)

- 1) New Membership
- 2) Conversion
- 3) Succession
- 4) Auction Purchase
- (In case member has become defaulter)
- 5) Market Purchase
- 6) Transfer to another Company Under same management (please specify reasons)
- 7) Others Please specify

c) Membership

- 1) Name of the previous holder of the card
- 2) SEBI Registration No.
- 3) Date of Registration with SEBI

d) Whether the applicant is member of more than one stock exchange ?

YES NO

e) If yes, please give name(s) of the stock exchange(s) with Code No. and SEBI Registration No.

Name of exchange(s)

SEBI Registration No.

8.a) Whether any of the Associate Companies/Partnership/Proprietorship Firm is/are having direct/indirect interest (* as defined below) in capital market.

YES NO

• The member is deemed to have direct/indirect interest in the following conditions:

- 1) Where he is individual, he or any of his relative being a broker/any intermediary, he or any of his relative being a partner in broking firm/any intermediary, he or any of his relative being a director in a broking company/any intermediary or he or any of his relatives clubbed together holding substantial equity in any broking company/any intermediary company engaged in capital market

- 2) Where it is partnership firm/company, the relative(s) of the partner(s) director(s) in the firm(s)/corporate body being a broker/any intermediary or being partner(s) /director(s) in any broking/intermediary or the same set of shareholders holding substantial equity in other broking/any intermediary engaged in capital market
- 3) Relative shall mean husband, wife, brother, unmarried sister or any near ascendant or descendant of an individual

b) If yes, please give details (you may attach separate sheet, if required)

Name	Form of organisation	Type of intermediary #	Whether registered with SEBI (give Regd.No.)	Nature of interest

Merchant Banker, Portfolio Manager, Registrar to issue & Share Transfer Agent, Banker to an issue, Mutual Fund, Venture Capital, Underwriter, Debenture Trustee, FII

- 9. Disciplinary Action initiated/taken against the Associate entities, as indicated in 8(b) above (Please state details of nature of violation, action initiated/taken and by which authority)

a) Disciplinary action taken by SEBI (if yes, please attach details mentioning nature of violation and action taken)

YES NO

b) Disciplinary action taken by any another authority (please attach details of nature of violation and action initiated)

YES NO

c) Disciplinary action initiated by SEBI (if yes, please attach details of nature of violation and action initiated)

YES NO

d) Disciplinary action initiated by any another authority (please attach details of nature of violation and action initiated)

YES NO

10. a) Net-worth as per requirement of the exchange (Rs. In Lakhs)

b) Applicant's net-worth in accordance with formula prescribed
By concerned stock exchange (Rs. In Lakhs)

(Certificate from a qualified C.A. certifying the above should be enclosed)

c) Please indicate the net-worth as per the following formula (Rs. In Lakhs)

1) Paid up Capital

2) Free Reserves (Exclusive of Revaluation Reserves)

3) Less Misc. Expenditure not written off

TOTAL NET-WORTH (1+2-3)

I/we declare that the information given in this form is true to the best of my knowledge and belief.

Date:

Signature
Name and Address of the applicant

LIST OF ENCLOSURES :

1. Registration fees DD of Rs. DD No. dated Name of the bank
2. Copy of relevant clause of MOA duly certified by the stock exchange.
3. Certificate from the qualified Chartered Accountant certifying the net-worth and paid up capital
4. Undertaking by applicant that he/she had not introduced through any member broker/sub-broker of the exchange any fake/forged shares in the Exchange/market
If yes, details thereof including action taken, if any, by the applicant.

Certification by Stock Exchange

The above details have been scrutinised as per record made available to the stock exchange.

Signature :

Name :

Designation :

Seal of the Exchange

Annexure A-8

Undertaking With Respect To Designated Directors/partners/individuals
(To be certified by a practicing chartered accountant/ practicing company secretary)

To Whomsoever It May Concern

This is with reference to the application of M/s _____ (*Applicant Company/firm*) for seeking provisional membership of the Exchange and subsequent application for registration of application with SEBI.

Based on the information, explanation and documents given to us, we state that the designated directors Mr./Ms. _____ and Mr./Ms. _____ (*names of designated directors/ partners/individual*) meet the eligibility requirements as prescribed in Securities Contracts (Regulation) Rules, 1957 (Rule 8(4A) and other relevant provisions) and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992.

This confirmation has been issued on the request of the applicant company/ firm for submitting to the CSE.

For M/s
Chartered Accountant

Stamp and Signature
Membership No.

Place :
Date :

ANNEXURE –A-9

(on the letterhead of the applicant)

To,
Membership Department
Calcutta Stock Exchange Limited
7 Lyons Range
Kolkata-700 001

Sub: Details of Regulatory Actions by SEBI

Dear Sir/Madam,

I _____ have applied for membership in The Calcutta Stock Exchange Ltd. as Trading Member/Trading cum Clearing Member/Professional Clearing Member. I hereby provide details of Regulatory Actions by SEBI as under:

Sr. No	Particulars	Remarks
1	Whether SEBI has initiated any Enquiry / Adjudication / Prosecution or any other action including consent proceedings, administrative warning, caution or advisory letter etc. against the applicant company or any of its associate company or any of its directors.	YES / NO
2	Details of corrective steps taken to prevent the recurrence of such irregularities or to improve systems.	if Yes : provide relevant information if No: mention Not Applicable

Yours Faithfully,

(Signature)
Name of Proprietor
/Authorized signatory

(Signature)
Name of Proprietor
/Authorized signatory

Rubber Stamp of Entity

Date:

Place:

Note: You may attach a separate sheet providing details along with supporting documents, wherever applicable.

Annexure –A 10

(On the letter head of the applicant)

NON DEFAULTER UNDERTAKING

I, Mr. / Ms. _____ hereby confirm that I meet the eligibility requirements as prescribed in Securities Contracts (Regulation) Rules, 1957 (Rule 8(4A) and other relevant provisions) and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992.

I undertake to ensure that, I will continue to meet the eligibility requirements as per Securities Contracts (Regulation) Rules, 1957 and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992.

I, Mr. / Ms. _____ hereby declare that I have not, at any point, introduced any fake / forged/ stolen shares in the market.

I, Mr. / Ms. _____, hereby declare that I have neither been declared defaulters by any Exchange in India/ by SEBI, nor am I related or associated with any other entity/person that have been declared defaulters by any Stock Exchange in India/SEBI.

I further declare that no enquiry/investigation has been initiated/pending against me by any Stock Exchange/SEBI.

Date:

Place:

For _____(Trade Name of applicant)

(Signature)

Name:

Proprietor

Rubber Stamp

Annexure- A 11

(on the letterhead of the Applicant)

Infrastructure Undertaking

I hereby declare the following:-

I have the necessary infrastructure like adequate office place, equipment and manpower to effectively undertake our activities as member of CSE

Below mentioned are the basic infrastructure requirements that I own / have taken on rent/ leave and licence /lease for being a TM of CSE.

S No.	PARTICULARS	DETAILS
1	Name of Company	
2	Address	
3	Telephone Numbers	
4	Fax Numbers	
5	Office Premises Description	(office space in sq ft)
6	Particulars of office Premises	Is the office Premises owned / taken on rent/ leave and licence/lease – please specify clearly
7	Office address (es)	
8	Other Assets	Details of Fixtures & Furniture or any other related movable assets (Also specify clearly whether owned / taken on rent / leave and licence/ lease)
9	No. of Computers	(owned / taken on rent/ leave and licence/ lease – please specify clearly
10	Back Office	Proposed from / (name of the vendor)
11	No. of Employees	

I confirm that the above stated facts and details are true and correct and I have not misrepresented and / or concealed /suppressed any material facts in this regard.

I also confirm that in the event of any false / incorrect particulars furnished by me or any misrepresentation of facts / suppression /concealment of facts by me, my application for membership may be rejected / our membership registration may be cancelled and penal action may be taken against me.

Date:

Place:

For _____ (Trade name of applicant)

(Signature)

Name:

Proprietor / Individual

Rubber Stamp

Annexure –A-12
Undertaking for Fit and Proper person
(Applicable to Corporate / Partnership/Proprietor)
(On the letterhead of the applicant)

I / We, M/s _____ (name of the applicant) hereby declare that I/we am/are 'fit and proper person' as per SEBI (Intermediaries) Regulations, 2008 and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992 as amended till date including with reference to following criteria:

- (i) integrity, reputation and character;
- (ii) absence of conviction and restraint orders;
- (iii) competence including financial solvency and network.

We further confirm the following in this regard:

(a) The applicant or its whole time director or managing partner has not been convicted by a Court for any offence involving moral turpitude, economic offence, securities laws or fraud;

(b) No order for winding up has been passed against the applicant;

(c) The applicant, or its whole time director, or managing partner has not been declared insolvent and has been discharged;

(d) No order, other than an order of suspension of certificate of registration as an intermediary, restraining, prohibiting or debaring the applicant, or its whole time director or managing partner from dealing in securities in the capital market or from accessing the capital market has been passed by the Board or any other regulatory authority wherein a period of three years from the date of the expiry of the period specified in the order has not elapsed;

(e) No order canceling the certificate of registration of the applicant has been passed by the Board on the ground of its indulging in insider trading, fraudulent and unfair trade practices or market manipulation;

(f) No order withdrawing or refusing to grant any license / approval to the applicant or its whole time director or managing partner which has a bearing on the capital market, has been passed by the Board or any other regulatory authority;

(g) The applicant is financially sound;

(h) There is no other reason, recorded in writing by the Board, which in the opinion of the Board, renders such applicant or its whole time director or managing partner unfit to operate in the capital market.

(i) There are no instances of any violation or non-adherence to any securities market related regulations by the applicant or its associate(s) / group companies in India or abroad and no action has been taken by a regulatory agency in that regard, [*except as stated in Annexure 'A' to this undertaking].

* strike off in case it is not applicable.

(Signature)
Name of Designated Director/Partner/Proprietor
/ Authorized signatory
Rubber Stamp

(Signature)
Name of Designated Director/ Partner/ Proprietor
/ Authorized signatory
Rubber Stamp

Date:

Place:

Note: In case the applicant wishes to furnish any other details, the same can be provided as annexure (duly stamped and signed by the authorized signatories) to the undertaking.

Annexure – A-13
Annexure A – (to Fit & Proper person Undertaking)
(Applicable to Corporate / Partnership/Proprietor)
(On the letterhead of the applicant)

(to be filled in if applicable)

- I. ***Details of top 10 monetary penalties in case of foreign entities (to be provided for applicant and its associate(s) / group companies)**
(For irregularities / violations in the financial services sector or for defaults in respect of shareholders /debenture holders and depositors, by any financial regulatory body or government authority or settlement arrived with any financial regulatory body during the last five years.)

- II. ***Details of all monetary penalties in case of Indian entities (to be provided for applicant and its associate(s) / group companies)**
(For irregularities / violations in the financial services sector or for defaults in respect of shareholders /debenture holders and depositors, by any financial regulatory body or government authority or settlement arrived with any financial regulatory body during the last five years.)

- III. ***Details of all penalties awarded (to be provided for the applicant only)**
(For economic offences)

- IV. ***Details of all cases of suspensions and cancellation of certificate of registration (to be provided for the applicant and any associates of the applicant only for the last 10 years)**
(For irregularities / violations in financial services sector or for defaults in respect of shareholders, debenture holders and depositors)

(Signature)
Name of Designated Director/Partner/Proprietor
/ Authorized signatory
Rubber Stamp

(Signature)
Name of Designated Director/ Partner/ Proprietor
/ Authorized signatory
Rubber Stamp

Date:
Place:

Note: All disclosures on penalties and action taken as per (I) & (IV) above against foreign entities may be limited to the jurisdiction of the country where the principal activities (in terms of income / revenue) of the applicant / associate companies are carried out or where the headquarters is situated.

* Strike off whichever is not applicable.

Annexure- A 14
(On the letterhead of the applicant)

To,
Membership Department
The Calcutta Stock Exchange Limited
7, Lyons Range
Kolkata-700 001.

Madam/Sir,

Kindly find details i.e Name & PAN Card for all the entities mentioned below along with the certified copy of their PAN card (copies attached).

A Promoters;

B Associate(s) / Group companies;

C Principal Officer / Key management person(s);

D All entities / persons falling within the verticals of applicant, both from bottom to top (e.g. holding company) and top to bottom (e.g. subsidiary company), irrespective of whether they are registered with SEBI or any other regulatory authority as per details provided below:

A Details of Promoters .

Sr. No	Name of Entity	PAN card No.	Certified copy of PAN Card enclosed
1			
2			

B Details of Associate/ Group Companies.

Sr. No	Name of Entity	PAN card No.	Certified copy of PAN Card enclosed
1			
2			

C Details of Principal Officer/ Key management person.

Sr. No	Name of Entity	PAN card No.	Certified copy of PAN Card enclosed
1			
2			

D Details of Holding Company & Subsidiary Company (irrespective of whether they are registered with SEBI or any other regulatory authority)

Sr. No	Name of Entity	PAN card No.	Certified copy of PAN Card enclosed
1			
2			

...2

We confirm that the above stated facts and details are true and correct and we have not misrepresented and / or concealed /suppressed any material facts in this regard.

We also confirm that in the event of any false / incorrect particulars furnished by us or any misrepresentation of facts / suppression /concealment of facts by us, our application for membership may be rejected / our membership registration may be cancelled and penal action may be taken against us.

Yours Faithfully,

(Signature)
**Name of Designated Director/
Partner/Proprietor
Authorized signatory**

Rubber Stamp of Entity

(Signature)
**Name of Designated Director/
Partner/Proprietor
Authorized signatory**

Rubber Stamp of Entity

Date:

Place:

Annexure A 15

Undertaking Regarding Association/Non-Association
(On the letterhead of applicant)

(applicable to Corporate / Partnership/Proprietor)

M/s _____, hereby confirm that the designated directors/Partners/Proprietor is / are not associated with any of the members / authorized persons of the Exchange.

OR

M/s _____ hereby confirm that the following designated directors/Partners/Proprietor is/ are associated with the following members / authorized persons of CSE in the respective capacity stated below:

Sr. No	Name	Capacity	Name of members / authorized persons with whom associated

M/s _____ further confirm that the designated directors/Partners/Proprietor stated above will disassociate with the above mentioned members / authorized persons of the Exchange on registration with SEBI

(Signature)
Name of Proprietor
Authorized signatory

Rubber Stamp

(Signature)
Name of Proprietor
Authorized signatory

Rubber Stamp

Place :
Date :

Annexure A-16
15 point confirmation

(To be given on the letterhead of the trading member)

To,
The Calcutta Stock Exchange Ltd.

Date:

This to confirm that:

1. As on ____ (date of application), I/We, as a broker of the CSE, have paid fees, as applicable, to SEBI. Further, we have paid the entire outstanding principal fees and interest to SEBI in respect of our turnover on the Calcutta Stock Exchange Ltd. in accordance with the SEBI (Stock Brokers and Sub Brokers) Rules and Regulations, 1992 and in respect of all erstwhile entities, if any;
2. I/We have submitted the turnover details necessary to assess the fee liability to CSE in the prescribed manner;
3. I/We would be liable for the fees that may accrue from the date of application for approval till the date of change in status;
4. I/We, would be liable for all liabilities/obligations (including monetary penalties, if any) for violations, if any, of the provisions of the SEBI Act and the SEBI (Stock-brokers and Sub-brokers) Rules and Regulations, 1992 that have taken place before this change in status and constitution;
5. I/We, have ____ sub-brokers on the concerned exchange and he / it is not a sub-broker of the subsidiary of the concerned exchange;
6. I / We, hereby declare that we are not connected with any defaulting / expelled brokers of any Stock Exchange. We further declare that none of the shareholders or directors of our company are connected with any defaulting / expelled brokers of any Stock Exchange;
7. I/We hereby declare that we have neither been declared defaulters by any Exchange in India/ by SEBI, nor are we related or associated with any other entity/person who have been declared defaulters / expelled by any Stock Exchange in India/SEBI;
8. I/We further declare that none of the shareholders and directors of our company have been declared as defaulters / expelled by any Stock Exchange in India/SEBI or are related or associated with any other entity/person who have been declared defaulters / expelled by any Stock Exchange in India/SEBI.
9. We further declare that no enquiry/investigation has been initiated / pending against me/us or any of the shareholders/directors by any Stock Exchange/SEBI.
10. No complaint / arbitration / disciplinary proceeding is pending against us (if otherwise, details of the same);
11. The incoming whole time / qualified director is eligible to be appointed as director under the Securities Contracts (Regulation) Act, 1956;
12. We, hereby confirm that our designated directors Mr. /Ms. _____ and Mr./Ms. _____ meet the eligibility requirements as prescribed in Securities Contracts (Regulation) Rules, 1957 (Rule 8(4A) and other relevant provisions) and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992.
13. We undertake to ensure that the above individuals or whosoever is identified by the corporate as designated directors, in future, till the time the corporate is registered as a member of the Exchange will continue to meet the eligibility requirements as per Securities Contracts (Regulation) Rules, 1957 and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992.
14. We, hereby declare that we have not, at any point, introduced any fake / forged/ stolen shares in the market.
15. There is no adverse comment against us or our directors / partners / proprietors / promoters / Top five shareholders in the following:-
 - a. Defaulters list of RBI as available at www.cibil.com - Suit filed cases - Suits filed of Rs.100 lakhs and above and Suits filed of Rs.25 lakhs and above (as per latest data available),
 - b. Prosecution list of CIS (as per latest data available) and non-CIS (as per latest data available) cases on the SEBI website (as per latest data available) in
 - i) Database of prosecution launched against CIS entities
 - ii) Database of prosecution launched against other than CIS entities

- c. List of companies & Directors/shareholders/ proprietors against which orders have been passed U/s 11B of SEBI Act. (As per latest data available in Vanishing Companies under Issues and Listing on www.sebi.gov.in).

Yours faithfully,

To be signed by

Along with the company stamp/seal

- a) where the trading member is an Individual: by the trading member himself.
- b) where the trading member is a Partnership Firm: by all the Partners of such firm.
- c) where the trading member is a Company: by the Chairman/MD or any other Director of the Company

Annexure –A 17
Appointment / Change in Compliance Officer

(On the letter head of the member)

The Membership Department,
 The Calcutta Stock Exchange Limited

Date :

Member: _____

SEBI Registration No _____

Mem ID. _____

Name of Compliance Officer	
First Name	
Father's Name	
Last Name (Surname)	
Office Address Details	
Address 1	
Address 2	
City	
State	
Pin Code	
Telephone no. (Direct)	
Fax No :	
Mobile Number	
Date of Appointment	
Date of Birth	
PAN	
Educational Qualifications	
Email and Website address	
Previous Employment Details, if any,	

I / we hereby confirm that all the above details are true and correct. I / We undertake to intimate the Exchange as and when there is any change in the aforesaid information submitted to the Exchange

Yours faithfully

For _____ (Name of the member) For _____ (Name of the member)

Name and signature of Authorized Signatory Signature of the Latest Compliance Officer

Authorized signatory/signatories as intimated to Exchange