



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

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

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

Madam/Sir,

Sub: Application for admission to Deposit Based Membership of CSE

We,.....(Name).....(Address).....(Telephone including Mobile) hereby apply for Deposit Based Membership on the Calcutta Stock Exchange Limited.

We are forwarding to you the relevant documents as per your checklist attached alongwith this form for your kind perusal.

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

We hereby undertake to conform to and to abide by the Memorandum & Articles of Association and the Rules, Bye-Laws, Regulations, Business-Rules, Circular, Notifications and office orders, issued by the Exchange from time to time. We 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 us or by our authorized representatives and we shall comply with all requirements of the Exchange relating to settlement thereof. We also abide by all decisions of the Exchange with respect to the operation of the Exchange and would perform accordingly in meeting our 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 service tax @ 12.36% payable at par in Kolkata in favour of 'The Calcutta Stock Exchange Limited'. Please write the name of the company on the reverse of the Demand Draft.

Date :
Place : Kolkata

Signature of the Whole Time Director.
Name of the Company

**CHECK LIST OF DOCUMENTS ATTACHED ALONGWITH THE APPLICATION FOR
CSE DEPOSIT BASED MEMBERSHIP CORPORATE**

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

1.	Shareholding pattern and certificate from a Chartered Accountants as per enclosed format – Refer Annexure-A	
2.	Paid up Share capital and certificate from a Chartered Accountant (Specifying shares are issued for cash or for consideration other than cash) Net worth Certificate from Chartered Accountant	
3.	Net worth Certificate from Chartered Accountant – Refer Annexure – A1, AA1,AA2 & AA3	
4.	Constitution of board of directors specifying names of Whole Time Directors and Ordinary Directors) Refer Annexure – A7	
5.	Proof of age of Whole Time Directors	
6.	Educational Qualifications of Whole Time Directors	
7.	Bio-data of the Directors/Core Dealers (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 (Signed by concerned directors)	
8.	Experience Certificate of Whole Time Directors	
9.	No objection certificate from the Stock Exchange where the company is also a member of the concerned Stock Exchange	
10.	Organizational chart and infrastructure (Refer Annexure-9)	
11.	Latest Audited Balance Sheet (two copies in original)	
12.	Certificate of Incorporation	
13.	Pan Card of Whole Time Director	
14.	Specimen signature of Whole Time Director in Company Letterhead	
15.	Residential proof of Whole Time Director	
16.	Proof of Address of the Company	
17.	Xerox copy of Pan Card of the Company	
18.	No objection certificate from the Stock Exchange where the company is a member, if any	
19.	SEBI Registration Xerox of the respective Stock Exchange	
20.	A copy of Memorandum and Articles of Association	
	Memorandum & Articles of Association and certificate of Incorporation with following clauses to be incorporated in AOA	
i)	Any increase or reduction in capital or change in the share holding pattern of the company will be subject to the prior approval of the Stock Exchange of which the company is a member	
ii)	Any appointment, removal, change or vacation in the office of director shall always be subject to the prior approval of the Stock Exchange of which the company is a member	
iii)	Till such time the company would remain a member of any recognized Stock Exchange, the board may, subject to the prior approval of the Stock Exchange, in writing appointment an Alternate Director to act for a director (hereinafter called the Original Director) during his absence for a period of not less than three months from the State in which meetings of the Board are ordinarily held.	
iv)	Till such time the company would remain a member of any recognized Stock Exchange, two Whole Time Directors having requisite experience as stipulated by the Stock Exchange, upon appointment shall not carry on business either as sole proprietor or as partner of a firm or as director of any other company which is a member of any other Stock Exchange	
v)	Till such time as the company will remain a member of any recognized Stock Exchange, it has to comply with rules or conditions that may be prescribed by the Exchange in this behalf from time to time	
vi)	Till such time as the company will remain a member of any recognized Stock Exchange,	

	the company shall not carry or business other than that of securities as per the provisions of Securities Contracts (Regulation) Rules 1957 and Securities & Exchange Board of India (Stock Brokers & Sub-brokers) Rules and Regulation 1992.		
21.	Sealed confidential Bank Reference (s) Refer Annexure – A-3		
22.	<p>Confirmation / Undertakings :</p> <ul style="list-style-type: none"> • The company will comply with the norm prescribed by SEBI as per Section 12 of the Securities and Exchange Board of India <input type="checkbox"/> • The proposed Directors are not disqualified to act in that capacity as per the provisions of the Companies Act,1956 and that they are not persons whose registration as intermediaries been cancelled by SEBI or have been defaulter/expelled from any Stock Exchange <input type="checkbox"/> • Network of the corporate member will be maintained as per the requirements of the Capital Adequacy norms prescribed by SEBI <input type="checkbox"/> • The company shall not engage itself in any business other than Shares and Securities <input type="checkbox"/> • Undertaking from the directors that they have not been convicted of any offence and presently they are not on trial for offences involving fraud and dishonesty (required to be signed by both the Whole Time Directors) <input type="checkbox"/> • Undertaking that the directors had not introduced any fake and forged shares in the market (required to be signed by both the Whole Time Directors) • The Company _____ or any of its Dominant Shareholders/Directors has not been declared defaulters by any stock Exchange/SEBI or are not associated with any Stock Broker/Person/Entity who has been declared defaulters by any Stock Exchange in india. There is no Enquiry / Investigation / Adjudication / Action / Prosecution is pending against our Company or any of the Shareholders / Directors by any Stock Exchange / SEBI. • There is no Enquiry / Investigation Initiated/Pending against our Company or any of the Shareholders/Directors by any Stock Exchange in India. • The incoming Designated/ Whole-Time/Qualified Directors are eligible to be appointed as director under the SCRA, 1956. • We the Company _____ and the Directors fulfill all the criteria for determining us as a fit and proper person as per the section 2 of the Securities Contract (Regulations) Act 1956. • The Company _____ has no association with any broking Company / any intermediary company engaged in capital market. 		
23.	Certificate in the specified format – Refer Annexure –A4		
24.	Details of Dominant Promoter Group and certificate from CA in the specified format – Refer Annexure – A-5 (Please see note – 3 below)		
25.	Details of membership in other Stock Exchange – Refer Annexure – A-6		
26.	Undertaking from relative(s) of Dominant Promoter, if applicable – Refer Annexure – A-8		
27.	Board Resolution Refer Annexure A-10		
28.	Undertaking from Corporate Supporting Dominant Promoter Group Refer Annexure A-11		
29.	Certified true copy of the Resolution passed at the meeting of the Board of Directors for corporate supporting Dominant Promoter Group Refer Annexure A-12		

- Note :
1. All Xerox copies should be attested by a Gazette Officer/Notary Public
 2. The Networth should be computed as on March 31st of the last financial year, (based on audited balance sheet) along with the computation sheet and presented in the prescribed format given in Annexure – AA1/AA2/AA3 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 31st of the last financial year.

3. Salient features on the concept of Dominant Promoter/Shareholder Group:

- a) Dominant Promoter / Shareholder Group (DPG) is a group of shareholders of the Trading member corporate who normally would be individuals, **not exceeding 4 in number**, and who would jointly and/or severally hold not less than 51 % of shares (40% in case of listed companies) in the trading member corporate at the time of admission as well as subsequently at all relevant points of time.
- b) The shareholding/interest of close relatives of the DPG viz. Parents, spouse, children, brothers and sisters would also be counted for arriving at total dominant holding / interest of a particular dominant shareholder, if such relative(s) give an unqualified and irrevocable support in writing to the concerned dominant shareholder in respect of such holding / interest.
- c) Corporate shareholders of the trading member company can also extend their support to the DPG, provided the shareholding of the Dominant Promoter Group along with the support of their specified relatives in the corporate shareholder is not less than 51 % or 40%, as the case may be. The indirect shareholding shall be calculated proportionately by reckoning the direct shareholding of the DPG along with the support of their specified relatives in the corporate shareholder of the trading member company.
- d) If none of the dominant promoters/ shareholders is a Director on the Board of Directors of the trading member company, then at least two other directors having the requisite experience and qualification shall hold a minimum of 5% shares (each) in the paid up equity capital of the trading member company.
Once a trading entity nominates/ determines a group of shareholders (1 to 4) as the DPG, no other "shareholder (existing or new) would be allowed to join the DPG. However, one or more shareholders within the DPG may be allowed to divest their, shares and quit the group. In such an eventuality, it is to be ensured that the remaining dominant shareholders always maintain among themselves, a minimum of 51% of the shares of the company (40% in case of listed trading member corporate) at all points of time.

Failure to maintain this required level of shareholding will be treated as a breach of the continuing membership norms, which would tantamount to a reconstitution of the trading member corporate as the existing DPG would no longer hold controlling interest in the trading member corporate or alternatively a new group would have emerged with controlling stake. CSE would immediately withdraw the trading facility of such trading members. They could be re-instated upon rectifying the defect or seeking the approval of the Exchange for identifying the new group of shareholders as the dominant shareholders, for which the process of going through the Listing, Delisting, Investor

Service and Membership Selection Committee and the Board will need to be followed

e) The DPG may also be permitted to consist of corporate shareholders, provided:

- the trading member is a wholly owned subsidiary of another company
- the said holding company is not a subsidiary of any other company
- the identifiable individual dominant promoter(s) (not more than 4) hold atleast 51 % of the share capital of the holding company,

or

there are two or more listed corporate shareholders jointly holding atleast 51 % of the share capital of the holding company

or

one or more listed corporate shareholders along with individual shareholders together, not exceeding four in number, jointly hold atleast 51 % of the shares of the holding company,

Provided that in none of the above instances the holding company of the trading member corporate becomes the subsidiary of another corporate.

- the said dominant promoters undertake in writing, not to dilute their shareholding in the holding company without prior consent of the Exchange.
- Such corporate dominant shareholders are widely held listed Finance companies having net worth of Rs. 20 crores and above and their debt instruments, if any, have been accorded at least investment grade credit rating by reputed rating agencies.
- If such corporate dominant shareholders are non-finance companies listed on CSE and have a net worth of Rs. 20 crores and their debt instruments, if any, have been accorded at least investment grade credit rating by reputed rating agencies, then such a company shall be permitted to be included in the DPG.
- Private Banks, central or state government owned Finance and/or Development Institutions etc are also allowed to be identified as dominant shareholder(s) even if they are not listed provided they have a net-worth of at least Rs. 20 crores and the debt instruments, if any, have investment grade credit rating made by one of the reputed credit rating agencies.

•
The aforesaid norms are also applicable to trading members who are partnership firms. The term dominant shareholder/promoter may be substituted as 'dominant partner'.



APPLICATION FORM
(To be completed in Capital Letters)

1. Name of the Applicant
2. Weather the Company is a Pvt. Ltd./
Public Ltd/(Unlisted)
Public Ltd (Listed)
3. Date of Incorporation and Place:.....
Date Month Year Place
- 4.a. Registered Address
-
.....
Telephone.....Fax.....
(Please mention STD code) Email.....
- b. Correspondence Address
-
.....
Telephone.....Fax.....
(Please mention STD code) Email.....
5. Constitution of Board of Directors
First Whole Time Director :.....
Second Whole Time Director :.....
Ordinary Directors :.....
.....
.....

Signature of the Whole Time Director.
Name of the Company



7. Particulars of the Whole Time Directors:

Name of the Applicant

Age..... Date of Birth

Educational Qualification Experience

PAN No.

DIN No.

Name of the Applicant

Age..... Date of Birth

Educational Qualification Experience

PAN No.

DIN No.

Affix Passport Size
Photograph of the
Individual
Applicant

Affix Passport Size
Photograph of the
Individual
Applicant

8. Share holding Pattern of the Corporate Entity:

Group	Percentage
Dominant	
Whole time Directors	
Ordinary Directors	
Relatives of Whole Time Directors	
Friends & Others	
Bodies Corporate	
Total	

Please mention separately the holdings of Whole time Directors individually or along with immediate family members (defined u/s.6 of Companies Act, 1957) in the Group Companies.

- 8.a) Authorised Share Capital of the Corporate Entity : Rs.
 b) Paid up Share Capital (as certified by C.A.) : Rs.
 c) Networth Certificate from C.A. : Rs.

9.a) Is the applicant also a member of other Stock Exchanges

Yes No

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

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

 Signature of the Whole Time Director
 Name of the Company



c) Whether No Objection Certificate is obtained from the above Stock Exchange/s

Yes No

10.a) Have any of the Directors have ever applied for membership on CSE at any point of time. Either as individuals or as Directors of other entities. (if yes, please give details)

Name of Director	Name of Associate Entity	Location	Period of Association	Nature of Association

b) Have any of your key personnel worked for a Member of CSE previously (If yes, please give details)

.....
.....

11. Any other information that may be relevant :

.....
.....

Signature of the Whole Time Director.
Name of the Company

PAID-UP SHARE CERTIFICATE

This is to certify that the Paid-up Capital of _____ as on _____ is
Rs _____/- (Rupees _____ only) divided into _____ equity shares of
Rs. _____/- each issued for cash.

Address :

Place :

(Chartered Accountants)

Annexure : A-1

(For Corporates)

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/AA-3)

ANNEXURE – A-2

A) Computation of networth for an individual/partnership firm /corporate

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 Assests
- (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 Assests
- (i) 30 % of marketable securities

Explanation :

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

Annexure AA3

Format for Net worth for a Corporate Entity :-

Paid –up Capital	--	X	X
Add : Free Reserve		X	
Total :			
Less : Non-allowable Assets viz Non-Allowable Assets :*			
Fixed Assets including Land & Building	X		
Receivables which are due and outstanding for more than three months	X		
Doubtful Debts /Advances	X		
Pledged Securities*	X		
Total non-allowable assets			X
Net worth			

Notes :-

1. The following non-allowable assets should not be included in any head , while computing the net worth.
 - (a) Pre-paid Expenses
 - (b) Losses/Accumulated Losses
 - (c) Miscellaneous Expenditure
 - (d) Deferred Expenditure
 - (e) Bad deliveries
 - (f) Intangible Assets
 - (g) Doubtful debts/advances not provided for
 - (h) Non-refundable Deposit
 - (i) Loans and advances Capital Expenditure
 - (j) Advances against Capital Expenditure
 - (k) Value of the Exchange Card

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

**FORMAT OF CERTIFICATE TO BE FURNISHED BY APPLICANT
ALONGWITH APPLICATION**

From:

The name and address of the proposed Deposit Based Corporate Members

To

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

Dear Sir,

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

1.	The net worth of the company, as on _____, computed and certified in the prescribed format as indicated in Annexure - A-1, is Rs. _____ lakhs (net worth should be indicated as on 31st March of last financial year or later).
2.	Details of membership(s) in any stock exchange in the name of the company, its subsidiaries or any of the directors / dominant promoter group therein, are given in Annexure - A-5. It is further certified that none of these memberships has ever been suspended / expelled / penalised / 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 - A-6.
3.	Details of one whole time director and another director having minimum two years of direct experience in any activity related to banking services, financial services or treasury are given in Annexure : A-7. (Such experience will include working as a dealer, in the back office or as a researcher with any individual or organisation operating in the securities market.)
4.	The share holding pattern of the company as on _____ is given in Annexure - A
5.	The list of persons forming part of dominant promoter group and their shareholding is given in Annexure : A-5. Besides, written unqualified and irrevocable support of their ____ (give number) close relatives for including their shareholding as on _____ (March,31st) for the purpose of determining the dominant group is enclosed on the prescribed format. Any change in the composition of the dominant promoter group would be effected only after taking prior approval of the CSE. (Strike out if not applicable)
6.	After _____ (March, 31 st), there has been no change in the Board of Directors of the undersigned, nor is it likely to be effected due to : - any direct or indirect transfer of shares or securities in the share capital of the company. - any direct or indirect transfer of shares or securities in the share capital of any one or more companies or bodies corporate holding any part of the paid up capital of the company. (Strike out whichever is not applicable and give complete details, wherever any change has taken / likely to be take place.)

7.	Any of the promoters or dominant shareholders of the company do not singly or jointly have an equity holding of 10% or more and/or any share in his/their own name and/or jointly with any of his/their close relatives in any other trading membership of the CSE.
8.	In case, the company goes for a public issue, the Offer document / Prospectus shall be submitted to the Exchange for prior perusal, at least 21 days before opening of subscription list.

We hereby state that the information given above is true, correct and complete to the best of our knowledge and information. We also state that no relevant material fact has been suppressed. We agree that in the event of any of the above statements being found false, incorrect or incomplete, we recognize that CSE may take any action as it may deem fit, including termination of the trading membership. We also agree to provide CSE with all such documents as may be called for and be required by CSE from time to time.

We hereby undertake to inform CSE about any change in the abovementioned facts within 15 days from the date of the change taking place / coming to our knowledge, whichever is earlier.

Place:

Date:

** Signature(s)

**** TO BE SIGNED BY :**

Managing Director/Whole Time Director and :

- 1 any other Whole Time director, or
- 2 any other directors authorized by the Board. (submit copy of the relevant Board resolution)

Annexure : A-5

Certificate dated _____ submitted by _____ to CSE

**DETAILS OF DOMINANT SHAREHOLDING GROUP as on _____ (31st March or later)
(For Corporates and Firms only)**

Sl.#	Name	No. of Shares @		Total Amount Paid @		% of Total @		Total	
		Self	Relative	Self	Relative	Self	Relative	Self	Relative

Date:
Place:
Signature(s)

CERTIFICATE

This is to certify that the Shareholding _____ 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..

Place: _____ For (Name of Accounting Firm)
Date: _____
Name of Partner
Chartered Accountant
Membership Number

@ : For arriving at the shareholding of persons constituting the Dominant group, the shareholding of close relatives, namely parents, spouse, children and their descendants, brothers and sisters only may also be counted provided these relatives give an irrevocable, unconditional support in writing on the prescribed format (Annexure A-8).

Annexure : A – 6

Certificate dated _____ submitted by _____ to CSE

DETAILS OF STOCK EXCHANGE MEMBERSHIPS

Sl.#	Name	Relation@	Stock Exchange	Since	Membership No.	Mode of Acquisition	Remarks #
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

Annexure – A-7

Certificate dated _____
submitted by _____ (applicant) to CSE

DETAILS OF DIRECTORS AS ON _____

Sr No	Name	Fathers Name	Designation @	Date of Birth	Education	DIN Number	Residential Address & Telephone Nos.	Designate directors (Yes/No) #	Share holding *			Directorships/controlling shareholding in other cos.
									No.	Amt	% of total	
1												
2												
3												
4												
5												

NOTES :

@ Please clearly state whether the Director is a Managing Director or Whole time Director or Executive Director or Non-Executive Director or Executive Chairman or Non-Executive Chairman

Identify two designated directors (A designated director/partner is one who is a graduate by qualification (or CA, ICWA or CS) and possesses at least 2 years of experience pertaining to securities market. They, essentially, look after the stock market operations of a trading member entity. Every trading member corporate should have at least 2 such directors and every firm should also have 2 partners who meet the aforesaid norms.)

\$ All initials to be expanded

* Not applicable to trading members who are individuals

Date:

Place:

Authorized Signatory/Director (s)

CERTIFICATE (for corporate only)

This is to certify that the shareholding 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.

Place:

Date:

For (Name of Accounting Firm)

Name of Partner/Proprietor

Chartered Accountant

Membership Number

BIO-DATA

Name :

Father's Name :

Date of Birth :

PAN :

Address :

Educational Qualification :

Experience :

Name of the Director

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 :-

Whole Time Directors

IF APPLICABLE

Annexure : A-8

Certificate dated _____ submitted by _____ to CSE

**UNDERTAKING FROM RELATIVE OF PERSONS CONSTITUTING
DOMINANT PROMOTER GROUP**

I, Mr./Ms./Mrs. _____, son/daughter/wife of Mr. _____, resident of _____ am the absolute owner of _____ (no.) of shares of Rs. ___ each, Rs. _____ per share paid-up, which constitutes _____ % of the total paid up capital of the company _____ private limited/ limited as on this date.

I state that I shall irrevocably and unconditionally support in respect of my shareholding, Mr./Ms. _____, a shareholder in the above mentioned company. I further state that I have no objection to my above mentioned shareholding being clubbed with the shareholding of Mr. _____, who is my _____ (give relation's with the latter) for the purpose of determining the dominant promoter group of the said company.

This support is irrevocable and I also undertake to give prior information to the Calcutta Stock Exchange Limited before selling or otherwise transferring any part or whole of my above mentioned shareholding.

WITNESS BY:

Signature :

Name :

Address :

Date :

SIGNATURE

Name :

Place :

Date :

CERTIFICATE

This is to certify that the Shareholding in _____ Limited 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.

Place:

Date:

For (Name of Accounting Firm)

Name of Partner

Chartered Accountant

Membership Number

\$: For arriving at the shareholding of persons constituting the Dominant group, the shareholding of close relatives, namely parents, spouse, children and their descendants, brothers and sisters only may be counted provided these relatives give an irrevocable, unconditional support in writing on the prescribed format (Annexure A-8)

Annexure A-9

In the Letter head of the Company

This is to certify that the Company has an adequate office space at..... .The Company has all the equipments and adequate manpower to effectively discharge its activities.

Signature of Directors with stamp

Annexure A-10

(On letter-head of applicant)

BOARD RESOLUTION

True extracts of the minutes of the meeting of the board of directors of the company _____ held on date _____ at the registered office _____

Resolved that the Board authorizes _____ Ltd, to obtain membership for becoming Trading Member (TM) of The Calcutta Stock Exchange Limited (CSE)

Further the Board appoints Mr./Ms _____ and Mr./Ms _____ to be the authorized representatives of the company and they are hereby authorized to act as designated director on behalf of the company for all matters related to CSE

Further resolved that the above stated designated directors Mr./Ms. _____ (name with designation) AND /OR Mr./Ms. _____ (name with designation) of the company are also authorized to execute individually / jointly all documents / agreements on behalf of the company for acquiring the membership and operations of CSE and all the acts done or to be done by the above stated designated directors Mr./Ms. _____ AND /OR Mr./Ms. _____ of the company shall be binding on the company.

FOR AND ON BEHALF OF THE BOARD OF DIRECTORS

(Signature)

Name:

Designation:

COMPANY ROUND STAMP / SEAL

DATE

PLACE

Name of Designated Director / Authorized Signatory	Specimen Signature

Annexure A-11

(If applicable)

(To be submitted on the letter head of the Corporate supporting the Dominant Promoter Group)

UNDERTAKING FROM CORPORATES SUPPORTING DOMINANT PROMOTER GROUP

We, M/s. _____ Ltd., incorporated as a Company under the Companies Act, 1956 and having its registered office at _____ do state as under:

1. As per the existing norms of The Calcutta Stock Exchange Limited, the shareholding of Mr./Ms. _____* in our company in direct proportion to our shareholding in the Member Company, may be reckoned for the purpose of arriving at the dominant promoter group in M/s. _____ (Member Company).
2. We are _____% shareholder of the Member Company and Mr./Ms. _____, dominant promoters of the Member Company along with his/her specified relatives i.e., _____ are having _____% shareholding in our company.
3. Mr./Ms. _____* have requested The Calcutta Stock Exchange Limited to consider their shareholding in our company in the permissible proportion to arrive at the dominant shareholders in the Member Company and also requested us to give an irrevocable undertaking extending unconditional support to Mr./Ms. _____ (Name of the Dominant promoters of the Member Company) to enable The Calcutta Stock Exchange Limited to consider the aforesaid as dominant promoter group.
4. We hereby extend our unconditional and irrevocable support in support of Mr./Ms. _____ (Name of the Dominant promoters of the Member Company) for the purpose of the determining the dominant promoter group in the said Member Company.
5. We also undertake to give prior information to the Calcutta Stock Exchange Limited before effecting any change in the shareholding of Mr./Ms. _____.*

For -----

Signature of Authorised Signatory (ies)
Name of the Authorised Signatory (ies)

Date:

Place:

Witness by: _____ (Signature of witness)

Witness By _____ (Signature of witness)

(1) Name:

(2) Name:

Address:

Address:

* Name of the Dominant Promoters of the Member Company along with their specified relatives having shareholding in the corporate giving the undertaking.

CERTIFICATE

This is to certify that the shareholding in _____ (Name of supporting corporate) as mentioned below is based on our scrutiny of the books of accounts, records and documents.

Sr. No.	Name of the Share holder	No. of Shares	Paid up Share Capital	% Shareholding

We further certify that the information given above is true and correct to the best of our knowledge and as per information provided to our satisfaction

Place:

Date:

For (Name of Accounting Firm)

Name of Partner / Proprietor
Chartered Accountant
Membership Number
Rubber Stamp

(If applicable)

Annexure A-12
BOARD RESOLUTION

(On letterhead of corporate supporting the dominant group)

Certified true copy of the Resolution passed at the meeting of the Board of Directors of _____ (Name of the Company supporting Dominant Promoter Group) held on _____ (Date) at _____ (Venue).

Resolved that the company shall extend its unconditional and irrevocable support in favour of Mr./Ms. _____, for the purpose of determining the dominant promoter group in M/s. _____ (Member) and accordingly, execute necessary documents including an irrevocable undertaking to give effect to the same and submit it to the Calcutta Stock Exchange Limited. Resolved further that Mr./Ms. _____, (Designation of the director) of the company be and is hereby authorized to execute necessary documents including such undertaking.

Certified to be true

For _____ (Name of the Company)

Note: The above certificate and Board resolution should be given along with the undertaking as given by corporate supporting the dominant promoter group

CHECK LIST OF DOCUMENTS ATTACHED ALONGWITH THE APPLICATION FOR CSE DEPOSIT BASED MEMBERSHIP CORPORATE FOR OBTAINING 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-13	
4	Details of Regulatory Actions by SEBI Annexure A-14	
4.	No action/non-defaulter undertaking Annexure –A 15	
5.	Infrastructure undertaking Annexure A –16	
6.	Fit and proper person/bank undertaking Annexure A-17	
7.	Undertaking to be submitted by the applicant seeking registration / prior approval Annexure A-18	
8	Name & PAN Card for all the entities Annexure A 19	
9.	Association/Non.Association undertaking Annexure A-20	
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/AOA of the Company	
18.	Board resolution/Managing Partner Authorization	
19.	Details of director/partner/proprietor	
20.	Shareholding pattern/sharing pattern	
21	15 Point confirmation Annexure A-21	
23	Appointment / Change in Compliance Officer Annexure A-22	

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-13

(On letter-head of Practicing Chartered Accountant)

UNDERTAKING WITH RESPECT TO DESIGNATED DIRECTORS

TO WHOMSOEVER IT MAY CONCERN

This is with reference to the application of M/s _____ (applicant) for seeking provisional membership of The Calcutta Stock Exchange Limited and subsequent application for registration of application with Securities & Exchange Board of India (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) 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 for submitting to The Calcutta Stock Exchange Limited / SEBI.

Date:
Place:

For (Name of Accounting Firm)

Signature
Name of Partner/Proprietor
Chartered Accountant
Membership Number
Rubber Stamp

ANNEXURE -A-14

(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 15

(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:

Partners

Rubber Stamp

Annexure- A 16

(on the letterhead of the Applicant)

Infrastructure Undertaking

We hereby declare the following:-

We 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 we 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	

We confirm that the above stated facts and details are true and correct and I / 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 me/ 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.

Date:

Place:

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

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

Rubber Stamp

Annexure –A-17
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 debarring 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-18

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 19
(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 20

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 Authorized signatory

(Signature)
Name of Authorized signatory

Rubber Stamp

Rubber Stamp

Place :
Date :

Annexure A-21
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 22
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