

**Application for Empanelment/ Review of Empanelment as a Broker for Money Market , Debt Market and/or Equity Market.**

|  |  |
| --- | --- |
| 1. **Firm Name** |  |
| 1. **Constitution** |  |
| 1. **Date of establishment** |  |
| 1. **Net worth**  (Attach certificate) |  |
| 1. **Do your Firm/ Company/ Directors /Partners enjoy any credit facilities from our bank?**   **(Declaration to be submitted)** |  |
| 1. **Corporate / Registered Office Address /Telephone /Fax / e-mail** |  |
| 1. **Main Dealing Room**   **Address /Telephone /Fax / email** |  |
| 1. **Branch particulars (if any)** |  |
| 1. **Numbers and Names of the FII/ other institutions where your firm / company is empanelled as broker /trading member** |  |
| 1. **Name of stock exchanges in which applicant is a member**   ( copy of membership card enclosed) | For Example :  Merchant Banker / Primary Market Mobilisation, Primary Dealer, Secondary Market Dealing in equity/Debt/ Derivatives, |
| 1. **Activities of the firm** | For Example :  Merchant Banker / Primary Market Mobilisation, Primary Dealer, Secondary Market Dealing in equity/Debt/ Derivatives, |
| 1. **SEBI Registration No.**   (Copy enclosed) |  |
| 1. **Group Companies (State the activities)** |  |
| 1. **Names of Partners./Directors/ proprietor (profile enclosed)** |  |
| 1. **Brief Profile of Key Management Personnel**   (Including dealers; specify whether services of partners/directors / employees with professional qualifications is available on a regular basis) |  |
| 1. **Names of Dealers, Analysts and their respective sectors.** |  |
| 1. **Names of persons authorised to sign contract notes & documents and their specimen signatures with KYC / Board Resolution / POA etc** |  |
| 1. **List of Major Shareholders ( Holding 5 % and above of applicants capital)** |  |
| 1. **Whether any legal suit has been instituted or is pending against the firm / company or any associate firm/ company for breach of contract or for any other reason arising out of the broking/intermediary activities in security transaction** |  |
| 1. **Whether any of the partners/ directors has at any time in the past been adjudged as insolvent** |  |
| 1. **Trading volumes in last 3 years :**   **{Audited Balance Sheet (for last 3 years**  **for new broker and 1 year for existing empanelled broker) is enclosed) }** | |  |  |  |  | | --- | --- | --- | --- | | Segment | 2019-20 | 2020-21 | 2021-22 (9 months) | | Equity |  |  |  | | Debt |  |  |  | | Primary Placement |  |  |  | | TOTAL |  |  |  | |
| 1. **Income Tax PAN No. and Circle/ Ward (enclose copy)** |  |
| 1. **GST No & State (enclose copy)** |  |
| 1. **List of publications, if any** |  |
| 1. **Infrastructure details** |  |
| 1. **Any other Information (Please specify)** |  |
| 1. **Additional Information**  * Whether your company has ever been delisted by RBI/ SEBI till date. * Whether you have defaulted in any stock exchange settlement and if so, please give details. * Whether SEBI has initiated any action against your company. * Whether your company was involved in the scam of 1992 & 2001. * Details of Penalty imposed on the firm / company by any Regulatory Body. | |

**Place:**

**Date:**

**(Signature of Sole Proprietor/Partner /Director)**

**AFFIDAVIT**

**(to be stamped & notorised)**

|  |  |
| --- | --- |
| 1.  2.  3.  4.  5.  6. | I/We , ………………………………….s/o ……………………… proprietor / partner / Director of M/s ………………………………………… certify that the information given in this application form is true to the best of my/our knowledge and belief . I/ We will inform you of any changes in the information given above as and when it takes place.  We agree to issue adequately stamped contract note in favour of Indian Bank in the prescribed format of the National Stock Exchange.  that we shall not act as principal with Indian Bank unless prior written consent is obtained from Indian Bank  (The clause may be omitted / not applicable for Primary Dealers/ Satellite Dealers)  that no communication concerning the transaction shall be made or dispatched by us or our officers/employees to any third party and shall not divulge any confidential information concerning the transaction , except when specifically required by the Stock Exchange or other Statutory Authorities.  that we will inform Indian Bank before parting the said confidential information to any authority without written consent.  that we will inform Indian Bank if The Firm/ Company is suspended / debarred by SEBI or any Public Sector Undertaking , Banks, Institution from acting as a broker and/ or as a Principal  that we will inform Indian Bank , if the membership is suspended/ terminated/any penal action is initiated against the firm/ Company by Stock Exchange / SEBI |

**We declare:**

|  |  |
| --- | --- |
| 1 | That the concern and / or any of its partners/ directors of the concern has /have not been adjudged bankrupt or receiving orders of bankruptcy has been made against the concern and/or any of its partners /directors of the concern. |
| 2 | That the concern and/or any of its partners/ directors was/ were never proved to be insolvent. |
| 3 | That the concern and/ or any of its partners/ directors has/ have not been convicted of any offence involving fraud or dishonesty. |
| 4 | That the concern and/or any of its partners / directors has/ have never compounded with any creditors for less than full discharge of debts. |
| 5 | That the concern and/ or any of its partners / directors of the concern has/have not been at any time expelled or declared a defaulter by any Stock Exchange , Reserve Bank of India, SEBI or any other Statutory body (ies) |
| 6 | That no disciplinary action has been taken /contemplated to be taken by any stock exchange against the concern and/or any of the partners / directors of the concern |
| 7 | That the concern and/ or any of the partners/ directors of the concern has/ have not been indicted in the security scam. |

“Concern” means individual, proprietorship firm, partnership firm, public / private limited Company etc.

**(Signature of Sole Proprietor/Partner /Director)**

**VERIFICATION**

I/We , ………………………………….s/o ……………………… proprietor / partner / Director of M/s ………………………………………… certify that the information is true & correct.

Place :

Date :

(Signature of Sole Proprietor/Partner /Director)