

TREASURY BRANCH

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| **APPLICATION SERIAL NO** |  |

**CHECK LIST FOR DOMESTIC BROKER EMPANELLMENT**

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| 1 | Application form in our Format duly completed (If any annexures mentioned, the same should be attached) |  |
| 2 | Net worth Certificate for 31.03.2022,23,24 certified by the Auditor |  |
| 3 | Details of credit facilities from our bank, if any |  |
| 4 | Other institutions where your firm / company is empanelled as broker /trading member |  |
| 5 | Copy of Membership Card of Stock exchanges in which applicant is a member |  |
| 6 | Copy of SEBI Registration No. |  |
| 7 | Names of persons authorised to sign contract notes & documents and their specimen signatures with **KYC / Board Resolution / POA etc** |  |
| 8 | Trading volumes in last 3 years with copy of Exchange Certificate **(2021-22, 2022-23, 2023-24 (9 months)** supported by Turnover Certificate from Exchange |  |
| 9 | Copy of PAN Card & GST Registration |  |
| 10 | **Duly stamped & Notarised Affidavit in original (As per state stamp duty rules)** |  |
| 11 | Application is submitted by sole proprietor /Partner / Director |  |
| 12 | List of Authorised signatories along with **KYC documents** |  |
| 13 | Latest Credit Worthiness Certificate from Chartered Accountant |  |
| 14 | Undertaking that none of the shareholders, group/associate/sister concern of the broker firm should be reported as Willful defaulter |  |
| 15 | Firm should be established at least three years prior to 31.03.2024 |  |
| 16 | Net worth of the Broker/PD/Merchant Banker should be more than Rs. 5.00 crore as on 31.03.2023 |  |
| 17 | Membership number of both BSE and NSE for debt and equity market required |  |
| 18 | Details of Number/ Name of organizations where the broker is empanelled with. Minimum Requirement -8 institutions |  |
| 19 | Shareholding pattern and details of group/associate/sister concern |  |
| 20 | Status Report NSE/BSE |  |

Verified by