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**SECURITIES AND EXCHANGE BOARD OF INDIA
SECONDARY MARKET DEPARTMENT
Mittal Court, A Wing, Gr. Floor,
224, Nariman Point, Mumbai 400 021**

**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. (If allotted by
the Stock Exchange)

3. Trade Name of Member

4. Address of Member

Tel. No.(O)

Tel No.(R)

Fax No .

5. Form of Organisation : Please tick the relevant entity

a) Sole Proprietorship b) Partnership

c) Corporate Body i) Financial Institution

ii) Others

iii) Foreign Joint Ventures

(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	
Top five Shareholders 1. 2. 3. 4. 5.	% Holding
FIPB 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 of application)	Educational Qualification	Experience (specify the nature and years)	In case partner(s) is/are registered with SEBI, give SEBI Regd. No.

C) Corporate Body (Financial Institution /Others)

i) 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)

ii) 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.**)

iii) Information regarding directors

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

iv) Details of top five shareholders

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

7. a) Date of Admission to Membership of the Stock Exchange.

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

i) New Membership

ii) Conversion

iii) Succession

iv) Auction Purchase

(In case member has become defaulter)

v) Market Purchase

vi) Transfer to another Company under same management

(please specify reasons)

vii) Others. Please specify

c) Please give the following information in all the cases other than the case of new membership

i) Name of the previous holder of the card

ii) SEBI Registration No.

iii) 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(s).

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:

- i. 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 a 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 engaged in capital market.
- ii. Where it is partnership firm/company, the relative(s) of 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
- iii. Relative shall mean husband, wife, brother, unmarried sister or any linear 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 Manger, 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 other 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 taken) YES NO

d) Disciplinary action **initiated** by any other authority (please attach details of nature of violation and action initiated) YES NO

10 a) Net-worth as per the 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)

i) Paid up Capital

ii) Free Reserves (Exclusive of Revaluation Reserves)

iii) Less - Misc. expenditure not written off

Total Net-worth(i+ii-iii)

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. 5000/-, 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 networth and paid up capital.
4. Undertaking by applicant that he/ it had not introduced through any member broker/ sub-broker of the Exchange any fake/forged/stolen 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 STOCK EXCHANGE

Certification from the stock exchange :

This is to certify that

i) The member is eligible to be admitted as the member of the Exchange as per the provisions of SC(R)A, SC(R)R, bye-laws of the exchange and circulars issued by Government of India and SEBI, in particular the GOI guidelines dated Nov.09, 1989 and SEBI circular dated May 14,1993.

ii) ----- is admitted as a member of this exchange as approved by the Council of Management in its meeting held on _____.

iii) No complaints/ arbitration cases/ disciplinary action are pending against the transferor M/s _____ and all the complaints received by the Exchange or referred by SEBI have been settled to the satisfaction of the Stock Exchange .

iv) We have verified the educational qualification, age, experience of the member with respect to the original record and found it to be correct as per the information given in the application.

v) No litigation with regard to transfer of card is pending in court of law.

The application is recommended for registration with the Securities and Exchange Board of India under Securities and Exchange Board of India (Stock Brokers and Sub-Brokers) Rules and Regulations, 1992.

Signature :

Name :

Designation :

List of Enclosures alongwith application :

1. Turnover fee details of the transferor in the prescribed format (enclosed).
2. Disciplinary record of the transferor
3. Board Resolution approving the membership (will be submitted by the Exchange)

EXECUTIVE DIRETOR

SECONDARY MARKET DEPARTMENT

SMD/POLICY/CIR-11/98
March 16, 1998

To

The President/ Executive Directors/ Managing Directors

of All the Stock Exchanges.

Dear Sirs,

Sub : Additional information to be submitted alongwith the application for registration as stock broker.

In terms of Regulation 3(1) of Securities and Exchange Board of India (Stock Brokers and Sub-Brokers) Rules and Regulation 1992, a Stock Broker has to apply in Form A duly recommended by the Stock Exchange of which he is a member, for registration as a Stock Broker by SEBI.

To enable us to have all the requisite information for registering the brokers as well as for updating the database of Stock Brokers, we have devised a format for the additional information required for the purpose. Therefore, while forwarding the applications in Form A, you are requested to ensure that additional information as per enclosed format is also submitted along with the application for all the cases sent henceforth for registration.

Yours faithfully,

M.D. PATEL
EXECUTIVE DIRECTOR

Encl : as above.



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