

**SCHEDULE I**  
**FORMS**  
<sup>60</sup>[FORM A  
[Regulation 3]

**Application Form for Registration as Stock Broker with Securities and Exchange Board of India**

**Table 1:**

<b>Sl. No.</b>	<b>Particulars</b>	<b>Details</b>
1	Name of Member with Code No.	
2	Trade name of Member	
3	Name of the Stock Exchange/ segment of which the applicant is the member	
4	Date of admission to exchange/ segment	
5	Address of Member	
6	Fax Number(s), Phone Number(s) of office and residence and email address	
7	Form of Organization—Sole proprietorship, partnership, corporate body, financial institution <sup>61</sup> [,others (please specify)]	
8	Net worth along with supporting document	
<sup>62</sup> [9	PAN of the applicant]	

<sup>60</sup> Substituted by the SEBI (Stock Brokers and Sub-brokers) (Second Amdt.) Regulations, 2013 w.e.f 27.09.2013

<sup>61</sup> Inserted by the SEBI (Stock Brokers and Sub-Brokers) (Amendment) Regulations, 2014 w.e.f. 08.10.2014.

<sup>62</sup> Inserted by the SEBI (Stock Brokers and Sub-Brokers) (Amendment) Regulations, 2014 w.e.f. 08.10.2014

**Table 2: Details of proprietor/ partners/ directors**

Sl. No.	Names	Age	PAN	Educational Qualifications	Experience in derivatives trading or securities market, as applicable

<sup>63</sup>[\*]

**Table 4: Details of sales personnel or approved user who has passed any certification programme**

Sl. No.	Name	Date of test	Percentage	Certificate No.

**Other details:**

1. Please furnish a copy of the memorandum and articles of association or the partnership deed, as the case may be.
2. <sup>64</sup>[\*]
3. If the applicant intends to clear and settle his trades through a clearing member, the applicant is required to furnish the name and details of the clearing member along with a copy of MoU/ agreement/ contract with them for the same.
4. Whether the application is accompanied by a requisite fee as per Schedule V of the Regulations as applicable to the applicant.

**Undertaking:**

5. Whether the applicant or its director or partners, any time convicted of any economic offence? If so, furnish the details.
6. Whether the applicant or its directors or partners, declared insolvent or declared defaulter by any exchange? If so, furnish details.
7. Whether the applicant or its directors or partners at any time subjected to any proceedings or penalty by the Board under SEBI Act or any of the regulations framed under the SEBI Act? If so, furnish the details.
8. Whether any disciplinary action has been initiated/ taken or penalty has been imposed by SEBI/ stock exchange(s)/ clearing corporation(s) or any other regulatory authority? If yes, furnish details. Also provide the details of corrective steps taken thereon

<sup>63</sup> Table 3omitted by the SEBI (Stock Brokers and Sub-Brokers) (Amendment) Regulations, 2014 w.e.f. 08.10.2014.

<sup>64</sup> Omitted by the SEBI (Stock Brokers and Sub-Brokers) (Amendment) Regulations, 2014 w.e.f. 08.10.2014

**Declaration:**

I declare that the information given in this form is true and in the event of any information furnished is false, misleading or suppression of facts, my certificate of registration is liable to be cancelled by SEBI without assigning any reasons whatsoever.

Dated.....

Signature

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**RECOMMENDATION OF THE STOCK  
EXCHANGE**

This is to certify that ..... is a member of this Stock Exchange and is recommended for registration with the Securities and Exchange Board of India.

Signature :

Name :

Designation :]