

(on the letterhead of the trading member)

NAME OF THE SUB-BROKER: _____

NAME OF THE AFFILIATING TRADING MEMBER: **SSJ HOLDINGS PVT. LTD**

SR. NO	Completeness of Application Form	BY	SUB BROKER CATEGORY
1	Registration Fee of Rs.10.000/- By DD favouring. SEBI (Valid till next four months)	SUB BROKER	ALL CATEGORY
2	Application form for Registration with SEBI - 'Form B'	SUB BROKER	ALL CATEGORY
3	Recommendation letter to be given by the Trading Member on letterhead - 'Form C'	BROKER	
4	Copy of agreement between trading member and sub-broker on stamp paper as per Cir. Ref. No.NSE/INSP/5387, Dt.27-08-2004.*	BOTH	ALL CATEGORY
5	Reference letter from the Applicant's banker and any other Third Party (such as CA or Lawyer/Notary/other stock broker)	SUB BROKER	ALL CATEGORY
6	Declaration from Sub-broker about non-conviction or presently not under trial for any offence #	SUB BROKER	ALL CATEGORY
7	Undertaking from Sub-broker about dealing directly with investors #	SUB BROKER	ALL CATEGORY
8	Confirmation from sub-broker that he has not applied through any other TM#	SUB BROKER	ALL CATEGORY
10	SEBI Registration Certificate of Sub-broker if affiliated with TM of other Exchange*	SUB BROKER	(IF REGD. WITH MEMBER OF OTHER EXCHANGE)
11	If affiliated , NOC from such broker	SUB BROKER	(IF REGD. WITH MEMBER OF OTHER EXCHANGE)
12	SEBI fees payment proof if Broker of another Exchange or affiliated as a sub-broker to trading member of other Exchange*	SUB BROKER	(IF REGD. WITH MEMBER OF OTHER EXCHANGE)
13	Annexure 'J' or 'K'— Letter from Trading member to NSE giving undertaking about dealing in fake and forged shares by the sub-broker	BROKER	
14	Annexure 'I' - Letter from trading member undertaking to settle the obligations of the sub-broker	BROKER	
15	Annexure 'O' - Certificate from subbroker relating to shareholding pattern and dominant group and crossholding#	SUB BROKER	ALL CATEGORY
21	Qualifications - Minimum HSC Passed - Proof required (Atleast 2 Dir. / Partners)*	SUB BROKER	ALL CATEGORY
22	Proof of age (Either School leaving / Birth / SSC certificate/ PAN card) - To be above 21 years of age*	SUB BROKER	ALL CATEGORY
23	NCFM CERTIFICATE	SUB BROKER	ALL CATEGORY
#to be signed by applicant / all partners as per partnership deed / authorised directors			
*All photocopies should be duly certified by the trading member/ CA/ Notary			

Points to be noted while filling application:

- 1) DD/Payorder should be favouring SEBI, payable at Mumbai.
- 2) **FORM B** - Application form to be completely filled in. Whichever clause is Not applicable, please put N.A.
- 3) **FORM C** – To be given by Trading member on their letterhead. Complete SEBI registration No. of trading member is to be mentioned below the signature of the trading member
- 4) **Copy of Broker – Sub-broker agreement** : Copy of Broker Sub-broker agreement on stamp paper to be certified as true copy on all pages by TM.
- 5) **Declaration about Non-conviction:** The Sub-broker applicant is required to give a declaration that they have not been convicted in the past and presently are not under trial for any offence involving fraud and dishonesty. In case of a corporate / Partnership firm, all the Directors/ Partners have to give such declaration individually for themselves and for the company/firm.
- 6) **Board resolution (in case of corporate applicants)** – The sub-broker applicant is required to give a board resolution along with Form 32 filed with the R.O.C. for any resignation or appointment of Directors.
- 7) If sub-broker applicant is a trading member of another Exchange, the Turnover details certified by that Exchange in Annexure ‘C’ as specified by SEBI.
- 8) **Annexure ‘O’** is required to be submitted by all sub-broker applicants including individuals.
- 9) **Annexure ‘M’** – Dominant promoter group to consist of **only one** Shareholder/Partner who can take the support of spouse, if required.
- 10) **Partnership deed** to be registered.
- 11) **Proof of age** – Copy of PAN Card/Driving Licence/School leaving certificate/SSC Certificate certified by Trading Member is required.
- 12) **Proof of Qualification:** Minimum H.S.C. required

(on the letterhead of the Sub Broker)

FORM B
SECURITIES AND EXCHANGE BOARD OF INDIA
(Stock Brokers and Sub-Brokers) Regulations 1992
(Regulation 11)

APPLICATION FORM FOR REGISTRATION AS A SUB-BROKER
WITH SECURITIES AND EXCHANGE BOARD OF INDIA

1. Name of applicant sub-broker: - Mr. _____
2. Trader name of sub-broker, - M/s. / Mr./ Ms. _____
3. Form of organisation - Sole proprietorship / Individual

Names of proprietor -

4. Educational qualifications of proprietor.

<u>Name</u>	<u>Status</u>	<u>Qualifications</u>
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5. Name of the member-broker and the Stock Exchange to which applicant is affiliated.
- SSJ HOLDINGS PVT. LTD

6. Date of acquiring sub-brokership - N.A

7. Infrastructural arrangements - indicate fax, telex, phones, number of offices and residential numbers. Also indicate the number of employees.

Office Address -

Phone No -

Telex No -

Fax No -

Number of employees -

Residential phone nos. of proprietor -

8. Number of branch offices and their location with phone, telex and fax numbers -

I certify that the information given in this application form is true to the best of my/our knowledge and belief.

Recommendation letter from the stock broker to whom I/we am/are affiliated and two references, including one from the banker as required are enclosed.

Signature _____

Date _____

(REFERENCE LETTER on the letter head of THIRD PARTY – C.A./LAWYER/NOTARY)

Date: _____

TO WHOM IT MAY CONCERN

I/We declare that _____ (Proprietor of _____), son of Mr. _____ aged ___ years, residing at _____ is known to me/us for well over ____ years.

He has got good financial background, moral character and integrity. He has been transacting business frequently and meets market commitments as and when they arise.

I/We hereby recommend the above-mentioned applicant to be registered as a sub-broker.

Yours faithfully,

(NAME WITH COMPANY SEAL)

(REFERENCE LETTER from BANKER)

Date: _____

TO WHOM IT MAY CONCERN

This is to certify that _____ (Proprietor
_____), residing _____ at
_____ has
Current A/c or Saving A/c No. _____ with us since _____.

(NAME WITH SEAL OF BANK)

(on the letterhead of the Sub Broker)

(For Point No. 6, 7 and 8)

Date: - _____

To,
The Membership Department
National Stock Exchange of India Ltd. (NSEIL)
Exchange Plaza
Bandra Kurla Complex
Bandra (East)
Mumbai - 400051.

Dear Sir,

I _____, Proprietor of M/s. _____ hereby inform you that:

- I have not been convicted for any offence nor I am presently under trial for any offence.
- I confirm that I have not applied for Sub-Brokership through any other Trading Member of the National Stock Exchange.
- I Undertake to deal directly with investors and not through any other Sub Broker

FOR _____

Proprietor

(on the letter head of the sub-broker)

ANNEXURE-'O'

To:
The Managing Director,
National Stock Exchange of India Ltd.
Exchange Plaza
Bandra Kurla Complex,
Bandra East
Mumbai 400051

Dear Sir,

Myself / any of the partners of the firm in which I am a partner/any of the promoters or dominant shareholders of the company in which I have a controlling interest, do not directly or indirectly, singly or jointly, have an equity holding of 10% or more and /or any share in my name and/or jointly with any of my close relatives in any other trading membership of NSE or any sub-broker of a member of NSE. (for Individuals)

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 recognise that NSE may take any action as it may deem fit, including recommending to SEBI for cancellation of our registration as sub-broker. We also agree to provide NSE with all such documents as may be called for and be required from time to time by NSE or the member with whom we are affiliated as a sub-broker.

Place: _____

for M/s. _____

Date: _____

Proprietor