

Change in name/trade name of sub-broker

The Trading Member is required to send the physical copies of the following documents for change of name/trade name of the sub-broker:

1. Letter of the trading member on his letter head addressed to the Exchange mentioning the old as well as the new name;
2. Letter of the sub-broker on his letter head addressed to the trading member mentioning the old as well as the new name;
3. Copy of Pan card of the sub-broker along with all the Directors/partners certified by the trading member;
4. Copy of the SEBI certificate certified by the trading member;
5. Application from the sub-broker (Form B) as per cir 60, download NSE/MEM/275 Dated June 12,1997
6. Recommendation letter from the trading member in new name of the sub-broker (Form C) as per Cir 60, download NSE/MEM/275 Dated June 12, 1997.
7. Following proof for change of name truly **certified by the trading member**:

| Category | Documents required |
|------------------|---|
| Individual | ➤ Certified copy of latest proof such as Marriage Certificate/Gazette Notification etc. |
| Partnership Firm | ➤ Certified copy of an acknowledged copy of application filed with Registrar of Firm (RoF) alongwith the challan |
| LLP/Corporate | ➤ Certificate of Incorporation in new name; ➤ Certified copy of board resolution; ➤ Certified copy of form filed with ROC along with the challan. |

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:
2. Trader name of sub-broker, firm, corporate body.
3. Form of organisation - sole proprietorship, partnership, corporate body. Please give names of proprietor, all partners, directors etc.
4. Educational qualifications of proprietor, partners, directors etc.

| <u>Name</u> | <u>Status</u> | <u>Qualifications</u> |
|-------------|---------------|-----------------------|
|-------------|---------------|-----------------------|

5. Name of the member-broker and the Stock Exchange to which applicant is affiliated.
6. Date of acquiring sub-brokership
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
Residential phone nos. of proprietor, partners, directors etc.
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 _____

Recommendation of the Stock Exchange

This is to certify that _____ is a recognised sub-broker affiliated to _____ member-broker of this Exchange.

The application is recommended/not recommended for registration by the Board.

AUTHORISED SIGNATORY

Signature

_____ Stock Exchange.

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

**RECOMMENDATION LETTER TO BE GIVEN BY THE MEMBER WITH
WHOM THE SUB-BROKER IS AFFILIATED**

To,
The _____ Stock Exchange

Dear Sirs,

I/We understand that _____ son of _____ aged ___ years, residing at _____ and attached to me at _____ for carrying on the shares and securities business as a sub-broker. I/we confirm that _____ is transacting business through me for a period from _____ and he is a fit and proper person to be registered as a sub-broker.

I/We also confirm that he is known to me/us for well over ____ years and he has got good financial background, moral character and integrity. He has been transacting business frequently and was meeting the market commitments as and when they arise.

I/We hereby recommend his application for granting registration for carrying on shares and securities business as sub-broker.

I/We member/s of _____ Exchange hereby agree to recommend the above mentioned applicant.

Yours faithfully

Signature of Member