**CHECKLIST OF REQUIREMENTS FOR REGISTRATION OF EXISTING SEBI REGISTERED MEMBERS-INDIVIDUALS**

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| **Sr.** | **Documents** | **Tick the box** |
| **I** | **Exchange Application Form** |  |
|  | Each page of the form/ annexures attached thereto to be duly stamped and signed by the proprietor. |  |
|  | If any information is not applicable, "Not applicable/N/A" to be mentioned. |  |
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| **II** | **Certificate of Chartered Accountant** |  |
|  | To be given as per the format prescribed by the Exchange, stamped and signed by the Chartered Accountant. |  |
|  | The certification of the CA should not be older than 6 months from the date of submission of application. |  |
|  | To be on the letterhead of certifying CA |  |
|  | To be given as per the format prescribed by the Exchange  -As per L.C. Gupta networth computation |  |
|  | The figures reported in Computation of net worth should tally with the relevant figures as reported in the Balance Sheet. |  |
|  | If the applicant has applied for debt segment and also regulated by sectoral regulator other than SEBI, the networth shall be computed in the manner as specified by such sectoral regulator. |  |

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| **Supporting to be annexed** | | |
| **Sr.** | **Documents** |  |
| **1.** | **Annual Accounts** |  |
|  | CA certified Balance Sheet and Profit & Loss Account alongwith the schedules annexed thereto to be given as on the date of Networth Certificate. |  |
|  | To be certified by a practicing CA |  |
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| **2.** | **Certification of Membership Module Examination** |  |
|  | Proprietor to clear the module(s) as given below: - Securities Market (Basic) Module or - Compliance Officer's (Brokers) Module or  - Relevant segment(s) modules as applied for, i.e., Capital Market (Dealers) Module/Derivatives Market (Dealers) Module/NISM - Series-I : CD Examination/ Derivatives Certification Examination/ relevant commodity module.   * **Compliance Officer**   NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination |  |
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| **3.** | **NCFM/BSE/NISM certification of atleast 2 Dealers** |  |
|  | Atleast 2 dealers of the applicant to possess valid NCFM/BSE/NISM certification, i.e., **Capital Market segment** (required for enablement in Capital Market segment) - Capital Market (Dealers) Module/ NISM Series VII – Securities Operations and Risk Management Certification  **Futures & Options segment** - NISM Series- VIII: Equity Derivatives Certification Examination /NISM Continuing Professional Education for Equity Derivatives/NISM Series XIII: Common Derivatives Certification Examination ("Series-XIII: CDCE")  **Currency Derivatives segment** - NISM Series-I: Currency Derivatives Certification Examination/ NISM Continuing Professional Education for Currency Derivatives/NISM Series XIII: Common Derivatives Certification Examination ("Series-XIII: CDCE")  **Debt segment**– FIMMDA Certification  **Only Interest Rate Futures - registration (if applicable)** / **enablement**– NISM Series-IV: IRD certification/ NISM Series XIII: Common Derivatives Certification Examination ("Series-XIII: CDCE")  **Commodity Derivatives Segment** - Relevant module |  |
|  | To provide certified copies of the certificates (stamped and cross-attested) by authorised signatories. |  |
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| **4.** | **Clearing Member confirmation** (applicable only if applying for Trading Membership in Capital Market/ F&O segment/ CDS /Debt/ Commodity Derivatives segment as per the case) |  |
|  | To be provided in original / an attested photocopy signed by authorised signatories |  |
|  | Name of the Trading member and Segment to be clearly mentioned |  |
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| **5.** | **PAN Card copies and SEBI Registration details** |  |
|  | To provide certified copy of the PAN card of the applicant entity. |  |
|  | To provide certified copy of the PAN card of Compliance Officer. |  |
|  | To provide certified copies of (stamped and cross-attested) PAN cards for each of the PANs disclosed in Association details (point no. 1 of IV) of Exchange Application form |  |
|  | To provide latest status report/conduct certificate issued by the concerned stock exchange |  |
|  | To provide attested copy of the SEBI Registration Certificate issued by the concerned stock exchange/SEBI. |  |
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| **6.** | **Biodata of Proprietor** |  |
|  | To be duly stamped and signed by the proprietor. |  |
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| **7.** | **Proof of Age & Education of the Proprietor** |  |
|  | To provide age proof (PAN cards) and educational qualification proof for the Proprietor, duly attested by CA |  |
|  | Proof of change in name / affidavits to be provided in case of change of name of the Proprietor |  |
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| **8.** | **Proof of Experience of the Proprietor** |  |
|  | To be on the letterhead of the entity certifying the experience and should be dated |  |
|  | The certifying entity should be a SEBI Registered Intermediary or any other entity regulated by any authority in India/abroad |  |
|  | The registration number of the certifying entity, name and designation of the person signing the experience certificate of the certifying entity should be mentioned in the experience letter. |  |
|  | The Proprietor should possess atleast 2 years of experience in:   1. dealing in securities business or 2. as an investment consultant or 3. as a portfolio manager or 4. any other Securities Market related activities handled to be clearly mentioned along with Capacity /Role, Period (dates). |  |
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| **9.** | **Bank Draft / Cheque/ RTGS for Processing fees and Admission fees** |  |
|  | Processing fees: Rs. 10,000 (plus applicable tax). |  |
|  | Admission fees: One time   * For all segments (except “Only Debt”): Rs. 5,00,000/- plus applicable  tax * For “Only Debt” segment : Rs. 1,00,000/- plus applicable  tax * Not applicable for Alpha Category |  |
|  | Bank draft/ Cheque in favour of NSEIL payable at Mumbai, may be provided |  |
|  | In case of payment to be made vide RTGS, following are the Bank Account details for NSEIL:   * Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED * Name of the Bank - HDFC BANK LIMITED * Name of the Branch - FORT, MUMBAI * Nature of Account -CURRENT * Account number - 00990610000064 * IFSC Code of the Bank/Branch - HDFC0000060 |  |
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| **10.** | **Copy of GST Form/Certificate to be provided** |  |
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| **11.** | To provide **Demand Draft of Rs.50,000/- in favor of SEBI**, payable at Mumbai, for each segment separately (in case opting for self-clearing/clearing membership of Capital market/ F&O segment/ CDS /Debt/ Commodity Derivatives segment). |  |

Expansion of abbreviations used:

F&O- Futures & Options CDS- Currency Derivatives Segment