

Profile – Sub Broker [AE]

Name of Broker: _____

AE Code/No: _____

[To be filled by Clearing Member]

A recent photograph
in light background
of the
applicant/signatory

Please affix and sign
on the photograph

TO BE FILLED BY INDIVIDUAL ONLY

Name: _____

Date of Birth: _____ [DD/MM/YYYY] Age: _____

Permanent Address: _____ City: _____

Temporary Address: _____ City: _____

Country: _____ Nationality: _____ Passport No/Citizenship No: _____

E- mail: _____

TO BE FILLED BY COMPANIES / CORPORATION / PARTNERSHIP FIRM / PROPRIETORSHIP FIRM OR ANY OTHER ONLY

Name: _____

Date of Incorporation/Registration: _____

Registered Office Address: _____ City: _____

Pin Code: _____ Email: _____

Address for communication (if different from the above): _____

_____ City: _____

Pin Code: _____ Email: _____

Name of the Proprietor/Managing Director/Chairman/Chief Executive Office:

Name of the authorized person: _____

Name of other Exchange(s) in which the applicant is/was a member:

Name of other Exchange(s) in which any of the director/partner/proprietor is/was a member:

***DECLARATIONS:**

- a) Whether any court case is pending against the applicant? [] YES / [] NO
- b) Whether the applicant is involved in any financial irregularities and subject to any disciplinary proceedings? [] YES / [] NO
- c) Whether the applicant was subject to any disciplinary proceedings in any other exchange? [] YES / [] NO
- d) Whether the applicant has read, understood and fully aware of the terms and conditions of the agreement with Broker/CM? [] YES / [] NO

(If answer is yes in clause (a) and (b) above, please furnish the details of such financial irregularities and/or disciplinary action in a separate sheet)

I/We hereby declare that the information furnished in this application is true and correct and the documents annexed with this application are true copies of its original. I/We undertake to inform the Broker/Clearing Member, in writing, immediately of any changes in the information furnished by me in this application. The Broker/Clearing Member or the Exchange will not be liable for any direct/indirect consequences arising on account of non intimation changes in the above information.

I/We understand the contents written herein and also agree to abide by the Bye-Laws and Rules of the Exchange.

Signature: _____

Thumb Print of Applicant:

Right

Left

Place: _____

Date: _____

Documents To Be Submitted Along With The AE/Registered User Profile

1. Proof of Identity and Proof of Address.
2. Resolution authorizing for application for registration and authorized signatory.
3. Certificate/ transcript of Bachelors degree or Proof of trading experience (*If any*).

***Verified By:**

Name of Broker: _____

Name of the Authorized person of Broker: _____

Signature of Authorized person of Broker: _____

Date: _____

Seal of Broker: _____

***Verified By:**

Name of CM: _____

Name of the Authorized person of CM: _____

Signature of Authorized person of CM: _____

Date: _____

Seal of CM: _____