

Additional Information to be filled by Capital Market Intermediary Applicant

S. No.	Particulars	Comments / Remarks (for IFSCA use)
1	If applicant entity is listed, provide names on stock exchanges on which it is listed.	
2	Date of commencement of business of applicant.	
3	Additional information for the various categories of intermediaries:	
A	Broker dealer / Clearing Member	
	<p>1. Name of Member with Code No.</p> <p>2. Trade name of member</p> <p>3. Name of the stock exchange/ clearing corporation of which the applicant is the member</p> <p>4. Date of admission to exchange / clearing corporation</p> <p>The application form for broker dealer / clearing member shall be accompanied by a recommendation of the stock exchange / clearing corporation.</p>	
B	Depository Participant	
	<p>1. Name of Depository in which the applicant will be acting as participant.</p> <p>2. Provide the following details regarding safekeeping and security systems and procedures:</p> <p>i. risk control and operations manuals;</p>	

	<p>ii. give details of independent internal control mechanisms for monitoring evaluation and review of accounting, and reporting systems and procedures.</p> <p>3. Please provide the following details regarding automatic data processing systems and record keeping:</p> <p>i. details of hardware, software and communications systems, their capability, function and location;</p> <p>ii. details of data storage and back up procedures and sites, their capability, function and location;</p> <p>iii. details of disaster recovery systems and procedures</p> <p>4. Details of insurance cover to be taken up.</p> <p>5. A declaration from the depository in which the applicant is to act as participant that:</p> <p>i. the applicant is eligible to act as depository participant and meets with the eligibility criteria specified in these regulations and in the depository's by-laws; and</p> <p>ii. the applicant has adequate automatic data processing systems, adequate and competent staff, risk management systems, procedures and manuals, disaster recovery procedures, secure data storage and off site back up facilities, adequate communications links and insurance to fulfil its obligations as participant to the satisfaction of the depository.</p> <p>The application form for depository participant shall be accompanied by a recommendation of the depository.</p>	
C	Investment bankers	
	1. Details of infrastructure shall include details regarding computing facilities, equity research	

	<p>and other relevant information relating to investment banking activities.</p> <p>2. Experience in handling the activities relating to investment banking during the last 3 years, if applicable.</p> <p>3. Details of Banking Unit.</p> <p>4. Name and address of the auditors.</p>	
D	Investment Advisers	
	<p>1. Number of principal officers and persons who propose to render investment advice under these regulations on behalf of the applicant.</p> <p>2. Provide details regarding qualification, work experience and certification of persons associated with investment advice. Provide a copy of the relevant certifications.</p> <p>3. Details about business plan shall include information about:</p> <ul style="list-style-type: none"> i. Type of products/ securities on which investment advice is proposed to be rendered ii. Process for risk profiling of the client and for assessing suitability of advice. <p>4. Additional Declarations:</p> <ul style="list-style-type: none"> i. Declaration by the applicant that its principal officer and persons associated with investment advice shall comply with qualification and certification requirements specified in these regulations. ii. Declaration that the applicant shall not obtain any consideration by way of remuneration or compensation or any other form whatsoever, from any person other than the client being advised, in respect of the underlying products or securities for which advice is provided to the client. 	

E	Credit Rating Agencies	
	Provide details about infrastructure shall include details regarding computing facilities, facilities for research and database available with the applicant.	
F	Custodian	
	Provide details about infrastructure shall include details regarding automatic data processing systems and record keeping, back up procedures and disaster recovery systems and procedures	
	Provide details regarding safekeeping and security systems and procedures.	

