

CHECK LIST FOR THE AUTHORIZED PERSON

- I. Application Form**
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- V. Pan card (AP)**
- VI. QUALIFICATION PROOF**
- VII. ADDRESS PROOF (OFFICE & RESIDENCE)**
- VIII. CA Letter (AP)**

(On CA letterhead)

TO WHOMSOEVER IT MAY CONCERN

This is to confirm that I know Mr. / Mrs. / Ms. **Name of SUBBROKER / FIRM** having registered office at **OFFICE ADDRESS** for the past (**period**) years.

I am aware that Mr. / Mrs. / Ms. **Name of SUBBROKER / FIRM** proposes itself as a sub-broker with SEBI for the operations in Capital Market / Derivative Market.

In my opinion, they are honest, rational and sincere persons with sound financial position. I certify that, to the best of my knowledge and belief they are the persons who can be entrusted with the work which requires complete integrity and financial responsibility.

The said reference is given on specific request of Mr. / Mrs. / Ms. **Name of SUBBROKER / FIRM**, to be furnished before the Authorities towards registration as a Sub-Broker.

Date : **DD/MM/YYYY**

Place :

For,

Chartered Accountants

(Proprietor / Partner)

Membership No. _____

Annexure - 2

Undertaking

(on the letterhead of the Authorised person)

I Mr./Ms. _____ (*name of the applicant authorised person*) had applied for appointment as Authorised Person of the Stock Exchange on Capital Market / Futures & Options Segment(s) through trading member, Mr. / Ms./ M/s. **MAX STOCK BROKING PVT LTD.** In this regard, I hereby confirm/undertake that:

- IX. I have not been convicted for any offence in the past and presently and not under trial for any offence involving fraud and dishonesty.
- X. I will deal with investors on behalf of Trading Member only and that I would not engage in any activities with investors which could result in unauthorised intermediations.
- XI. I am neither an Authorised Person of any other member of the stock exchange and nor has/have applied for appointment as Authorised Person with any other member of the stock exchange.
- XII. I confirm that I am not a defaulter/expelled on any stock exchange.
- XIII. I confirm that I am “fit and proper” under SEBI (Intermediaries) Regulations, 2008 and no action has been taken against me by SEBI, RBI, etc. and I have not defaulted in payment to any agency.

Date: _____

Place: **NADIAD**

***Name, Signature & Seal**

*Should be signed by Proprietor of the Authorised Person.