





## Checklist for Appointment of Authorised Person (CORPORATE)

Sr.	Documents	Points to be noted while filing the application
1.	a. Online Application b. Online Undertaking by the Trading Member (Annexure 1)	<ul style="list-style-type: none"> <li>The Trading Member shall apply online on ENIT (<a href="https://www.connect2nse.com/MemberPortal">https://www.connect2nse.com/MemberPortal</a>) through ENIT Services--&gt;Exchange--&gt;Authorised Person--&gt;Authorised Person Master Digisign.</li> <li>The undertaking is prompted when the application on ENIT is set to FINAL SAVE status.</li> <li>The undertaking should be digitally signed by the Proprietor/Partner/Director of TM.</li> </ul> <p>Physical documents are not required to be submitted vide circular Ref No: 824/2013 – Digital Submission of Authorised Person Application.</p>
2.	Annexure 2 – Undertaking from applicant corporate.   Annexure-2_Corp_u ndertaking from AP. <b>Format:</b>	<ul style="list-style-type: none"> <li>To be on the letterhead of the corporate applicant (registered office should be mentioned)</li> <li>All clauses should be mentioned exactly as per the format provided herewith.</li> <li>Should be stamped &amp; signed by all Directors or Authorised Signatory of the corporate.</li> <li>If signed by Authorised signatory duly certified Board Resolution signed by all directors should be uploaded.</li> </ul>
3.	Annexure 3 - Details of Directors of AP   Annexure-3_Corp_Di rector details.docx <b>Format:</b>	<ul style="list-style-type: none"> <li>To be on the letter head of the corporate applicant.</li> <li>Should not be older than 6 months from the date of application</li> <li>Should be certified by practising CA/CS (certification should not be older than 6 months from the date of application)</li> <li>Should be signed by all Directors or Authorised Signatory.</li> <li>If signed by Authorised signatory duly certified Board Resolution signed by all directors should be uploaded.</li> </ul>
4.	Annexure 4 - Details of Shareholding   Annexure-4_Corp_S hareholder details.doc <b>Format:</b>	<ul style="list-style-type: none"> <li>To be on the letter head of the corporate applicant.</li> <li>Should not be older than 6 months from the date of application</li> <li>Should be certified by practising CA/CS (certification should not be older than 6 months from the date of application)</li> <li>Should be signed by all Directors or Authorised Signatory.</li> <li>If signed by Authorised signatory duly certified Board Resolution signed by all directors should be uploaded.</li> </ul>
5.	Agreement between TM and applicant AP	<ul style="list-style-type: none"> <li>Segment applied for, on ENIT should match with the agreement uploaded.</li> <li>A single agreement can be executed for multiple segments.</li> <li>To be on a non-judicial stamp paper of Rs.100/- or as per stamp value applicable in the particular state where the</li> </ul>

	 <p>mem_agreement_tm_ap.doc</p> <p><b>Format:</b></p>	<p>agreement has been executed. Also clear franking date/stamp date should be mentioned.</p> <ul style="list-style-type: none"> <li>• The agreement date should be on or after the stamp paper/franking date.</li> <li>• The application should be submitted within 6 months from the date of agreement.</li> <li>• All clauses should be mentioned exactly as per the format provided herewith.</li> <li>• To be signed and stamped by Proprietor/Partner/ Director of TM and all the partners of the AP on all pages.</li> <li>• To be certified as true copy on all pages by Proprietor/Partner/ Director of the trading member.</li> <li>• Duly certified scanned copies of the entire agreement (including the e-stamp paper) should be uploaded on ENIT.</li> </ul>
6.	PAN Card of the corporate and all directors	<ul style="list-style-type: none"> <li>• PAN entered on ENIT should match with proof provided.</li> <li>• To be certified as true copy (stamped and signed) by Proprietor/Partner/ Director of the trading member or CA/CS/Advocate while uploading on ENIT.</li> </ul>
7.	<p>Proof of Date of Birth</p> <p>(Minimum age of Director: 18 years)</p>	<ul style="list-style-type: none"> <li>• Data entered on ENIT should match with the proof provided</li> <li>• As proof of age, duly certified scanned copy of PAN Card/Driving Licence/School leaving certificate/SSC Certificate/Passport should be submitted</li> <li>• To be certified as true copy (stamped and signed) by Proprietor/Partner/ Director of the trading member or CA/CS/Advocate while uploading on ENIT.</li> </ul>
8.	<p>Proof of Educational Qualification of all directors</p> <p>(Minimum 10<sup>th</sup> standard pass or equivalent examination recognised by Government)</p>	<ul style="list-style-type: none"> <li>• Data entered on ENIT should match with the proof provided</li> <li>• Duly certified scanned copy of latest qualification or S.S.C. passed mark sheet/certificate or the copy of Equivalent examination passed from an institution recognized by the government to be uploaded.</li> <li>• To be certified as true copy by Proprietor/Partner/ Director of the trading member or CA/CS/Advocate.</li> </ul>
9.	<p>a. Proof of Registered Office of Corporate</p> <p>b. Proof of Residential Address of all directors of Authorised Person</p>	<ul style="list-style-type: none"> <li>• Address entered on ENIT should match with the proof provided</li> <li>• Proof of address with expiry date, if any, should be valid on the date of submission.</li> <li>• Proof in regional languages should be translated in English/Hindi.</li> <li>• Duly certified scanned copies of the following documents can be submitted : <ul style="list-style-type: none"> <li>✓ Latest Landline Telephone Bill (not older than 6 months)</li> <li>✓ Latest Electricity bill (not older than 6 months)</li> <li>✓ Bank Statement/Pass Book (single/joint/second holder). The first page (containing the address) and the page with the latest transaction list (not older than 6 months) should be uploaded.</li> <li>✓ Notarized / Registered Rent Agreement (In case of agreements in regional languages the commencement</li> </ul> </li> </ul>

		<p>date, name and address of the parties and the validity of the agreement should be translated in English/Hindi).</p> <ul style="list-style-type: none"> <li>✓ Voters id / Driving License /Valid Passport /Aadhaar Card</li> <li>✓ Valid Ration card. In case of Family Card, the documents supporting the extended validity should also be uploaded.</li> <li>✓ Trade license agreement / Shop Establishment Certificate</li> <li>✓ Purchase deed along with index form.</li> <li>• In case the address proof is in the name of Spouse/Parents of the director, an undertaking from the Spouse/Parents is required to be submitted along with the address proof.</li> <li>• In case the applicant is operating from the Trading Member premises, an address proof of the trading member along with the NOC from the trading member is to be submitted.</li> <li>• To be certified as true copy by Proprietor/Partner/ Director of the trading member or CA/CS/Advocate.</li> </ul>
10.	Memorandum of Association (including certificate of incorporation) of the corporate applicant.	<ul style="list-style-type: none"> <li>• MOA (main object clause) should consist of clause permitting the corporate applicant to deal in shares and securities business.</li> <li>• In case the aforesaid clause does not exist in the Main Objects Clause of Memorandum of Association, certified true copy of board resolution approving the inclusion of the said clause in Main Objects Clause MOA shall be submitted.</li> <li>• To be certified as true copy by Proprietor/Partner/ Director of the trading member or CA/CS/Advocate.</li> </ul>
	Points to be noted :	
1.	In case the name of the Authorised Person as per the application submitted differs from that of the above documents uploaded alongwith the application, the certified true copy of Marriage Certificate/ Notarised Affidavit should be submitted.	
2	All documents uploaded should be certified as true copy by Proprietor/Partner/ Director of the trading member or CA/CS/Advocate while uploading on ENIT.	
3	In case the documents are CA/CS/Notary/Advocate attested, their membership number should be mentioned.	
4	In case of attestation by Authorised signatory duly certified Board Resolution signed by all directors should be uploaded.	
5	<p>The directors of applicant corporate should :</p> <ul style="list-style-type: none"> <li>▪ Not be a Trading Member of the Exchange</li> <li>▪ Not be a registered AP of any other Trading Member of the Exchange</li> <li>▪ Not a Proprietor/Partner/Director in any firm/corporate of a trading member or registered Authorised Person.</li> <li>▪ Have a good reputation and character</li> </ul>	
6	<p>The directors of applicant corporate should:</p> <ul style="list-style-type: none"> <li>▪ Not a defaulter in any other Stock Exchange</li> <li>▪ Not appearing in SEBI debarred Directors/ Vanishing Companies List</li> <li>▪ Has not been convicted of any offence involving fraud or dishonesty</li> <li>▪ Not appearing in CIS and Non CIS list or CIBIL database</li> </ul>	

7	Trading Member is not disabled or suspended or any disciplinary action has been taken/ initiated.
8	In case applying for Sub broker Cancellation and Authorised Person Appointment at the same time undertaking from trading Member in format specified should be uploaded. The path for the same is Membership - > Sub-broker - > Cancellation of Sub broker - >Download Undertaking Format.