

## Checklist for opening of a Branch Office

<b>1</b>	Application as per prescribed form duly filled-in
<b>2</b>	Copy of the resolution of the board of directors of the company duly authenticated by its MD/CEO to open branch office/CSE connectivity.
<b>3</b>	i. Name, address & qualification i.e. CV of the Authorized Representatives, along with copies of valid registration certificates issued by BSEC. ( attach two authorized representatives).
	ii. Name, address & qualification i.e. CV of the Branch Manager.
	iii. Name, address & qualification i.e. CV of the Compliance Officer.
<b>4</b>	Appointment letters of Branch Manager, Compliance officer and Authorized Representataives.
<b>5</b>	Copy of Lease Agreement in case of rented/hiring space for accommodation of the branch office for minimum period of 2 years or copy of the payment of land revenue tax/holding tax for owned premises.
<b>6</b>	Evidence of having connection of utilities i.e. demand notes, receipts from the concern authority.
<b>7</b>	List of existing branch office(s) /head office extension / digital booth mentioning address, telephone number, fax, email and contact person etc.

8	Copy of Return of Allotment of shares (Form-XV) certified by RJSC to show the proof of the paid up capital of the company or latest audited financial statements of the company to comply with SEC's Directives no. SEC/CMRRCD/2002-90/34 dated 29.7.2008 and SEC/CMRRCD/2008-187/128 dated 27.05.2009 respectively
9	Copy of declaration regarding ensure of compliances as per directive before starting operation of the branch.
10	Copy of Declaration regarding availability of Signboard mentioning BSEC registration no, name of the Exchange, CCBA Bank A/C no and Back Office Software vendor name, installation etc.
11	Application for set up/installation of 2 (two) trading workstations.
12	Declaration regarding availability of logistic support i.e; telephone line, fax, email, photocopier etc. to carry out the functions of the branch smoothly.
13	Latest Audited Financial Statements duly attested by MD/CEO
14	(CDBL)'s clearance certificate regarding "No outstanding statutory dues" [please collect it from CDBL]  and  "No mismatch of ISIN wise share with your back office software" for Stock Brokers and Stock Dealers renewal.[please collect it from CDBL]